

This electronic thesis or dissertation has been downloaded from the King's Research Portal at <https://kclpure.kcl.ac.uk/portal/>



Analysis of structure in Schubert's piano duets

Rast, N. A

The copyright of this thesis rests with the author and no quotation from it or information derived from it may be published without proper acknowledgement.

END USER LICENCE AGREEMENT



Unless another licence is stated on the immediately following page this work is licensed

under a Creative Commons Attribution-NonCommercial-NoDerivatives 4.0 International

licence. <https://creativecommons.org/licenses/by-nc-nd/4.0/>

You are free to copy, distribute and transmit the work

Under the following conditions:

- Attribution: You must attribute the work in the manner specified by the author (but not in any way that suggests that they endorse you or your use of the work).
- Non Commercial: You may not use this work for commercial purposes.
- No Derivative Works - You may not alter, transform, or build upon this work.

Any of these conditions can be waived if you receive permission from the author. Your fair dealings and other rights are in no way affected by the above.

Take down policy

If you believe that this document breaches copyright please contact librarypure@kcl.ac.uk providing details, and we will remove access to the work immediately and investigate your claim.

ANALYSIS OF STRUCTURE
IN
~~SELECTED~~ SCHUBERT'S
PIANO DUETS

Nicholas Andrew Rast

Submitted in fulfilment of
the requirements for the degree of
Doctor of Philosophy (Music).

University of London, King's College.
1988.

Abstract

Throughout his life Franz Schubert devoted much time and energy to the piano duet. Although a large proportion of his output in this area was written during his visits to Zseliz, Hungary whilst he was in the service of the Esterhazy family, there is a considerable amount of piano-duet music, some of which is representative of Schubert's mature style and compositional ability, which was written without the stimulus of a specific commission.

According to the thematic catalogue, the *Thematisches Verzeichnis seiner Werke in Chronologischer Folge* von Otto Erich Deutsch (revised by the New Schubert Edition. Kassel, Bärenreiter: 1978), Schubert's first composition was a piano duet (the *Fantasy in G major*, D.1) and, in addition to the *Deux Marches Caractéristiques*, D.968b, he wrote three important works for the medium in his final year: the *Fantasy in f minor*, D.940, The *Allegro in a minor "Lebensstürme"*, D.947 and the *Grande Rondeau in A major*, D.951. It would seem, then, that Schubert saw value in this type of composition beyond its obvious usefulness for piano teaching purposes, for working out ideas or refining his compositional technique.

The range of forms in Schubert's original piano-duet music is also impressively wide. In addition to the large number of marches and dances there are four fantasies (D.1, D.9, D.48 and D.940), two 'divertissements' (D.818 and D. 823), four sets of variations (D.603, D.624, D.813 and D.908), two sonatas (D.617 and D.812), two rondos (D.608 and D.951) and an Overture D.675. It seems unlikely, therefore, that the investigation of such a rich repertory of music could be anything but revealing about the musical development of its composer.

Although Schubert did exploit the piano duet as a

type of composition in which he could experiment and thereby refine his technique at every level, harmonic, textural and formal, the end products are, for the most part, successful pieces in their own right. To emphasize this more clearly a large part of the discussion focuses on lesser-known piano-duet works.

Schenkerian analytical techniques are used to examine a representative sample of Schubert's duets, principally chosen for their experimental or developmental character, to reveal a conflict between Schenker's view of tonal orthodoxy, and Schubert's comparatively unorthodox tonal procedures, as evidenced in the pieces under review. Beginning with examples taken from the shorter pieces, a structural, evolutionary pathway to the larger piano-duet works is revealed. This finds its clearest expression in the way Schubert heightens the dramatic component through the interaction of surface and deep-level structure, involving a broadened definition of the concepts of consonance and dissonance in a way which reveals their form-generative properties. The formal structures which are generated in turn control the internal characteristics of the voice leading at every level of the unfolding process. The result is a symbiosis of form and content: a reciprocal arrangement between the various grounds of the unfolding process where the formal and structural components of the background and earlier stages of the middleground produce voice-leading patterns at later levels which generate the thematic detail which emerges at the surface: these foreground diminutions, in turn, characterize the later middleground and foreground formal organization.

CONTENTS

Acknowledgements	5
Chapter 1: Introduction.	6
Chapter 2: The Fantasies: Schubert's apprenticeship and beyond.	21
Chapter 3: The Marches for piano-duet. The adumbration of new compositional techniques.	46
Chapter 4: The <i>Grande Marche Héroïque</i> D.885 (1826). The transition between small forms and large forms.	67
Chapter 5: <i>Allegro in a minor, "Lebensstürme"</i> D.947 and the <i>Rondo in A major</i> D.951 (1828). Consolidation of compositional techniques: symbiosis of form and content.	81
Chapter 6: Form in the Piano Duets of Franz Schubert.	102
Chapter 7: Conclusion.	146
Appendix	159
Bibliography	188
Franz Schubert's Original Works for Piano Duet.	198
Supplement Volume: Graphs (Figures 3.1-3.6, 4.1-4.5, 5.1-5.24 and 7.1-7.3).	

Acknowledgements

The production of a Doctoral dissertation makes many friends and, occasionally, a few enemies; thankfully the balance here is in favour of the former. The music of Franz Schubert has generated its own group of faithful followers amongst whom there exists a healthy camaraderie. In this category my thanks must go to Fr. Reinhard van Hoorickx OFM (Corsica), Dr. Otto Biba (Gesellschaft der Musikfreunde in Wien) and Dr. Otto Brusatti and Dr. Ernst Hilmar (Wiener Stadt- und Landesbibliothek).

Repositories of autograph source material and other institutions have also provided invaluable help. The most important of these are the Wiener Stadt- und Landesbibliothek, the Österreichische Nationalbibliothek, the Gesellschaft der Musikfreunde in Wien, the Pierpont Morgan Library, New York, the Houghton College Library of Harvard University and the Bodleian Library, Oxford. For the funds to work in these libraries my thanks go to the Central Research Fund of London University and, in particular, the Irwin Fund.

It is not possible to thank everyone individually who has contributed to this project, but three more people should be mentioned for their significant help and encouragement. They are my supervisor, Professor Arnold Whittall of King's College, London, whose intellectual contributions provided invaluable stimulus, Dr. V. Kofi Agawu who kindly proofread the text in its final stages, and Mr. Roger Searjeant whose technical expertise considerably facilitated and expedited the mechanical aspect of the production of this dissertation.

My thanks also go to all those who have encouraged this dissertation less tangibly, but nonetheless significantly. My thesis is dedicated to my mother.

Chapter 1 : Introduction.

Although histories of the development of the piano duet already exist, it is appropriate to make a few remarks about the state of the genre before Schubert by way of historical perspective¹. The duet developed in scope and popularity as the piano increased in compass and volume. Indeed, by the early nineteenth century the piano duet was one of the most popular forms of domestic music making.

Mozart was the first major composer to work seriously with the piano duet. He wrote ten duet works: five sonatas (K.123a, 186c, 497, 521, 497a and 19d), two fantasies (originally for organ, K.594 and 608), an *Andante with variations* K.501, and a fugue K.375e. Of these, two are of particular stature, the *F major Sonata* K.497 and the *Andante with variations* K.501. Beethoven wrote four original piano-duet works: two sets of variations, *Eight variations on a theme by Count Waldstein* and the *Variations on "Ich denke dein"*, the sonata Opus 6 and the *Three Marches* Opus 45. These are all works of minor importance.

So, when Schubert began writing for the medium, the piano-duet was only emerging as a self-contained genre; by the time he died in 1828 his contribution was significant. It would appear, therefore, that Schubert's rôle in the development of the piano duet shares characteristics with his rôle in the development of the art song. Schubert elevated the song to a much higher level of sophistication; he expanded the range of expression by his own individual approach to tonal organization in relation to the poetic text. He recreated the verbal text in musical terms; music was no longer mere accompaniment to the poetic idea elaborated by word painting.

Of course, piano duets do not have the guiding principle of a poetic text but stylistic norms had already become well established: the *Primo* part tended

to contain most of the thematic interest; the *Secondo* part was dominated by dull or repetitive figurations which clarified harmonic implications. Mozart's *Sonata in F major* K.497 was probably the first piano-duet work which transcended these norms; but this stands alone in the duet literature before Schubert.

Schubert transformed the duet into an instrumental genre of symphonic proportions in which *Primo* and *Secondo* interact as equal partners in the unfolding of the musical idea². To what extent Schubert's interest in the piano duet was for its own sake or for its usefulness as a convenient tool with which to practise his compositional craft will be clarified during the analytical explorations which follow.

The first entry in the Schubert thematic catalogue, compiled by Otto Erich Deutsch, is the four-hand fantasy in G major. Schubert frequently returned to the piano duet after the aforementioned fantasy, and his output in this field falls into three periods which span his entire compositional life: 1810 to 1813, 1817 to 1819 and 1823 to 1828. His last piano-duet work is the *Deux Marches Caractéristiques* D.968b.

The range of composition for the medium is also impressive: in addition to the fantasies, sonatas and sonata-form movements, sets of variations, marches and dances, Schubert also made piano-duet arrangements of the two Italian Overtures D.590 (D.592) and D.591 (D.597) and the overtures to his operas *Alfonso und Estrella* D.732 (D.773) and *Fierabras* D.796 (D.798). Although Schubert wrote the piano-duet works of 1818 and 1824 for the two Countesses Esterhazy in the course of his duties as their music teacher, there are many other four-hand compositions which were produced in the absence of such specific commissions.

With thirty one piano-duet works to his credit (see pp.198-99) it is clear that this was an important genre for Schubert; but why was he drawn to this medium as a young boy and again, later, as a mature composer? Two

reasons might be adduced: firstly, the piano is a convenient instrument at which to work out compositional ideas, and four hands at one keyboard offer more opportunities to develop thematic material; secondly, the piano duet offers the opportunity for exploring matters of textural organization. In this way it provides a useful textural form between the solo piano/instrumental composition and the denser, texturally more varied orchestral work.

It will become clear, therefore, that the piano-duet medium provided the young Schubert with a genre which allowed him to develop his compositional abilities at the keyboard, whilst developing a textural awareness which could later be carried over into orchestral composition and music for other forces. Similarly Schubert's small-scale vocal composition prepared him for his operatic attempts; although this transition proved less successful. Indeed, Schubert's later piano-duet works might well reflect a conscious effort to refine his compositional technique. The fact that he had approached the Viennese theorist, Simon Sechter, in October 1828 for lessons in counterpoint lends weight to this³. All of this raises the question, why did Schubert make such efforts at this stage to develop his compositional processes? The evidence which the symphonic sketch D.936a provides suggests that he was working towards the composition of a new symphony.

This symphonic sketch is the third of the *Drei Symphonie-Fragmente* D.615, D.708a and D.936a which were rediscovered at the Wiener Stadt- und Landesbibliothek in 1978. Several scholars, most prominently Peter Gülke and Brian Newbould, have since worked on these sketches and D.936a has been made available as Schubert's Tenth Symphony⁴. Detailed discussion of this research lies outside the scope of this dissertation, but the date of these sketches does much to support the view that Schubert had been developing

his technique, through the piano-duet works and fugal exercises, with a symphony in mind.

Although the aim of this dissertation is not to explore the textural relationship between the piano-duet works and Schubert's orchestral output in detail, conclusions will be drawn with respect to the particular rôle of texture and use of register in the piano-duet repertory. More specifically, it will be shown that the synchronization of textural density with structural phenomena contributes to the underlining of formal divisions not only at the foreground but also at deeper levels of the unfolding process. Moreover, it is intended to show how the experimental nature of the piano-duet works is revealing about Schubert's approach to tonality, and how that approach is significant in the history of tonal music.

So far most of the more penetrating analytical literature concerned with the music of Franz Schubert has concentrated on his songs and the specific problems which have arisen in the application of Schenkerian techniques to music and text⁶. The reasons for this concentration on the vocal music are twofold:

- 1) Schubert's fame is based predominantly on his songs of which there are 631⁶. In the fields of orchestral and instrumental music he is still overshadowed by Beethoven. This has led to a belief, not entirely unfounded, that Schubert's greatest compositional presence is to be felt through his songs.
- 2) Schubert's 'problematic' harmonic language, affected as it is by nineteenth-century Romanticism, is more readily explained through the invocation of extra-musical parameters such as the poetic text (see footnote 5 below, Harald Krebs: "The Background Level in Some Tonally Deviating Works of Franz Schubert" in *In Theory Only* 8 (1985) pp.5-18).

Two doctoral dissertations concerned with Schubert's piano-duet music do exist, but neither are deeply analytical. The first, Carl Kesselschläger's *Franz Schuberts Werke für Klavier zu vier Händen. Ein Beitrag zur Geschichte und stilistik des vierhändigen Klaviersatzes* (Freiburg: 1941) is concerned with the place of Schubert's piano-duet works within the evolution of the piano duet as a genre'. It is divided into two sections: the first establishes the historical background; the second, itself subdivided into three sections defined by three main periods of Schubert's piano-duet output (1818, 1824/25 and 1828) offers little more than general stylistic discussion of all of Schubert's piano duets.

The second dissertation appeared in 1968: Dallas A. Weekley, *The One-piano, Four-hand Compositions of Franz Schubert: Historical and Interpretative Analysis* (Indiana University). Dr. Weekley, himself an accomplished performer (he and his wife, Nancy Argenbright, frequently give piano-duet recitals throughout the United States) concerns himself with interpretative issues read against the background of the historical perspective. He does analyse individual pieces, but only from the standpoint of performance problems; the discussion does not range into issues of deep level structure or motivic coherence. This dissertation was the first to look closely at the extant manuscript material.

A third dissertation, which is concerned with all of Schubert's piano works, rather than the piano duets specifically, is the most analytical piece of work on Schubert's piano-duet output. Georg Winkler's *Das Problem der Polyphonie im Klavierschaffen Franz Schuberts* (Vienna: 1956) is divided into four sections: a critique of the relevant literature; a theoretical section concerned with aspects of homophonic and polyphonic structures; a 'systematic' section which enumerates examples of contrapuntal types in Schubert's

output, and a 'statistical' section which comprises tables of polyphonic/contrapuntal types in Schubert's piano works arranged according to type (solo or duet) and period.

Necessarily, as he is concerned with so much music, Winkler has not space (in 240 pages) to go into great detail on any single work. However, he does provide useful general information on stylistic features in Schubert's piano writing, such as, in the case of the four-hand works, the identification of recurrent figurations and gestural norms observable in his treatment and allocation of thematic material to *Primo* and *Secondo*.

Although it is not the purpose of this study merely to rediscover and rediscuss the issues which have been raised in the three dissertations mentioned above, there will be a certain amount of repetition and re-examination of basic concepts where appropriate. Moreover, where significant conclusions are provoked concerning the chronology of the duets or performance decisions these will also be explored. The aim is rather to undertake a detailed examination of Schubert's approach to compositional structure and formal design in this highly significant part of his output, and to attempt to reveal an evolutionary pattern which clarifies issues concerning the development of Schubert's musical personality.

The chosen repertoire has been considered in two main sections: shorter forms (specifically the marches) and larger forms (sonata-form structures; with special emphasis on the *Allegro in a minor (Lebensstürme)* D.947 and the *Rondo in A major* D.951). The *Grande Marche Héroïque* D.885 provides a link between these two. Many of Schubert's piano duets are not discussed in detail.

The fantasies provide the subject for Chapter 2 and, although they are only considered superficially, their contribution to the thesis is significant because

of what they reveal about the evolution of Schubert's compositional style. The early fantasies (D.1, D.9 and D.48) show the youthful Schubert reconciling the spontaneity of harmonic invention with weakness of formal construction; the *Fantasy in f-minor* D.940 of Schubert's final year shows the successful refinement of his technique.

The variations have not been included because of the special formal properties of these pieces. Variations, according to Schenker, can have an undivided form, a two-part form or a three-part form. A major difference between variations and those types of composition with which this study is concerned is that variations are normally unified by a gradual increase of motion: from larger to smaller note-values. Naturally, the theme for a set of variations plots the course for the composition: it will have a complete fundamental structure, and it is this increase of motion which will sometimes create different middleground and always different foreground manifestations of the same structural background. The final variation, whose purpose is to break the repetitive pattern, is normally the most interesting for the means it employs to achieve this⁹.

The nature of the fantasy has already been considered in the present author's Master's dissertation⁹. In this study of Schubert's *Fantasy in f minor* D.940 the interrelationship of orthodox and unorthodox procedures was examined. Furthermore, the relationship between tonal structure, form and content created a synthesis between unusual foreground phenomena, such as the juxtaposition of key areas a semitone apart (f minor/f sharp minor), and the coherent background of the fundamental structure. Although aspects of this overlap with the subject of the present thesis, the focus has been to approach this same general idea through more stable formal designs. Investigation of form constitutes a significant part of

the analytical section of this thesis, consequently the comparison of orthodox features (Schenker) and unorthodox approaches (Schubert) from the standpoint of stable forms seems not only entirely defensible but also appropriate.

An encyclopaedic survey of Schubert's entire piano-duet output is neither the aim nor the purpose of this study. However, where aspects of piano-duet works other than those specifically under review shed further light on and intensify analytical issues, appropriate references are made. The discussion largely focuses on lesser-known works to highlight the experimental, but nonetheless significant role that these pieces play in Schubert's compositional development. For this reason the *Sonata in C major 'Grand Duo'*, D.812 as a major, fully developed work, worthy of a full-length study of its own, has not been given fuller consideration (see below, Chapter 7, pp.148-49, and supplement, figures 7.1-7.3). Using Schenkerian techniques, the thrust of the argument focuses on the interrelationship of voice-leading characteristics and formal design at different structural levels to reveal a symbiotic relationship between these two factors.

Where individual compositions are examined the discussion is much more detailed and piece-specific (such as Chapter 4 on the *Grande Marche Héroïque* D.885 and Chapter 5 which is concerned with *Lebensstürme* D.947 and the *Rondo in A major* D.951); where a large subsection of the repertoire is examined (Chapter 3, the marches in general) a synthesis of the results of the research is presented.

Schenkerian techniques have been used for their ability to reveal long-range connections and structural rhythm. This not only includes such features as motivic parallelism, but also the pacing of the elements of the fundamental line and the nature of the filling-in of the bass arpeggiation. There is no longer any need to elaborate on the minutiae of Schenkerian methodology as the relevant literature is already extensive¹⁰. However, some explanation of my

use of these techniques is necessary.

In general I have only shown middleground graphs of the structures under discussion. This is the level which is likely to be the most generally informative within the defined context of this thesis: it shows the path of the musical organism from the background (discernible in the middleground) to the foreground (manifest in the actual composition). But, this obvious point aside, the restrictions of space imposed by a dissertation such as this necessitates a focus on those specific properties which clarify the unfolding of the thesis.

Fuller graphic representation is used to clarify more complex voice-leading manifestations. As more elaborate voice-leading procedures often have structural significance however, the inclusion of more levels has the added effect of intensifying the structural definition of such areas.

Questions will be raised for which conclusive answers have not been found; but this should not affect the central thesis. The analysis of a given composition within this study is not intended to represent the only possible interpretation; this is not an attempt to answer all the questions which surround Schubert's compositional process in the piano-duet works.

Several works are considered which demonstrate fundamental-line descents from δ . This is the rarest form of the fundamental line and, as such, the issues raised are of particular interest, not only for what such lines tell us about Schubert's personal approach to tonal structure but also how the results in the pieces which contain such descents extend and test tonality. From what follows in the course of this study conclusions will be drawn concerning the inherent form-generative and tonal properties peculiar to a particular descent form. The latter part of the dissertation (Chapter 6) is specifically concerned with

form. Chapter 6 has been organized in much the same way as Schenker's chapter on the same subject in *Free Composition*'. Each form type is considered separately, beginning with undivided form, and ending with rondo form; almost all of the works analysed in Chapters 3, 4 and 5 are considered anew in this context in this chapter.

By selecting Schenkerian analytical concepts and methodology alone the results cannot be comprehensive. Sometimes Schenker's method alone proves to be insufficient to explain Schubert's intentions. Naturally, in such cases, the fundamental issue of whose 'failure' to meet the requirements of tonal free composition this is has been aggressively addressed.

Specifically, there are detailed features of the graphs which may appear unorthodox. These fall into three general categories: the articulation of the obligatory register; the balance of two-voiced and multi-voiced texture, and, most unusually, octave displacement which generates unorthodox voice leading. The extent to which these features are characteristics specific to Schubert's compositional process or generated by the individual properties of the piano duet as a genre will become clearer as the argument unfolds.

It will be demonstrated that the co-existence of orthodox and unorthodox characteristics in the works under analysis does not undermine larger-scale coherence. The achievement of structural stability through unusual techniques reveals at the same time the strengths and weaknesses of the Schenkerian definition of tonality. Schubert's procedures identify the compatibility of classical balance and romantic imagination.

This leads to the provocative suggestion that Schubert's influence on later generations lies at the very heart of his application of the tonal language. But the argument does not stop here. A conflict

emerges between the musical personality of Franz Schubert and the natural tendencies of the tonal system itself.

Commentators have frequently addressed the issue of Schubert's romantic tendencies¹². Irene Levenson in her paper, "Smooth Moves: Schubert and Theories of Modulation in the Nineteenth Century", locates examples of specific modulatory techniques, which are discussed in theoretical writings by Reicha, A. B. Marx, F.-J. Fétis, Hauptmann and Louis and Thuille, in works by Schubert. During the course of her paper Dr. Levenson quotes from a treatise by Adolph Bernhard Marx (*Die Lehre von der musikalischen Composition* [1837] p.213) in which he says:

"... it is the prerogative of the mind to make itself independent of, and to rise above, the initiative laws of nature; to skip over those links which connect its phenomena, and in bold flight soar at once to the most distant and unexpected objects and ideas. For such occasions, abrupt and startling modulations offer themselves as the proper means of expression."

'Abrupt and startling modulations' are frequently encountered in the repertory examined in this dissertation; it is at such points that the conflict between the intrinsic identity of the tonal system and Schubert's own approach to tonality is most vivid. The pathway from unified form through two- and three-part form to sonata form intensifies this conflict by throwing more sharply into relief the unusual middleground transformations of stable background structural phenomena on their way to a stable foreground formal framework. The ultimate goal, therefore, is to shed light on the means of resolving this conflict in the piano duets discussed in this study and thus to identify the originality and inventiveness of Schubert's contribution to the repertory.

Notes.

1. Probably the most relevant study in this area is Max Wilhelm Eberler: *Studien zur Entwicklung der Setzart zu vier Händen von den Anfängen bis Franz Schubert* (PhD. Diss. Munich: 1922).
2. Indeed, for many years the *Sonata in C major "Grand Duo"* D.812 was thought to be the lost Gmunden-Gastein symphony in piano-duet arrangement.
3. Before his death, Schubert only managed to have one lesson with Sechter (4 November 1828). The results of this lesson appear in the thematic catalogue as D.965b. See, Alfred Mann: 'Schubert's lesson with Sechter' in *Nineteenth-Century Music* 6 (1982) pp.159-165.
4. See, Peter Gülke: *Drei Sinfonie-Fragmente* (Leipzig, Peters: 1982) score and commentary, and Brian Newbould: 'Schubert's Last Symphony' in *The Musical Times* 126 (1985) pp.272-275.
5. e.g. Heinrich Schenker: 'Schubert: "Ihr Bild"' in *Tonwille* 1 (Vienna: 1921) pp.46-49 (this article has recently appeared in English, translated by William Pastille, *Sonus* 6.2 (Spring 1986) pp.31-37), and, 'Schubert: "Gretchen am Spinnrade"' in *Tonwille* 6 (Vienna: 1923) pp.3-8; David Lewin: '"Auf dem Flusse": Image and Background in a Schubert song' in *Nineteenth-Century Music* 6 (1982) pp.47-59; Carl Schachter: 'Motive and Text in Four Schubert Songs' in *Aspects of Schenkerian Theory* (ed. David Beach) (Yale: 1983) pp.61-76; V. Kofi Agawu: 'On Schubert's "Der greise Kopf"' in *In Theory Only* 8 (1984) pp.3-21; Ann K. McNamee:

'The Introduction in Schubert's Lieder' in *Music Analysis* 4 (1985) pp.95-106, and Harald Krebs: 'The Background Level in some Tonally Deviating Works of Franz Schubert' in *In Theory Only* 8 (1985) pp.5-18.

6. See John Reed, *The Schubert Song Companion* (Manchester: 1985) pp.483-484.
7. In this sense, as far as Schubert research is concerned, it is a further extension of what Max Wilhelm Eberler had done in his dissertation *Studien zur Entwicklung der Setzart zu vier Händen von den Anfängen bis Franz Schubert* (Munich: 1922). Although I have not seen Eberler's dissertation Kesselschläger makes many references to it. Dallas Weekley also devotes space to Schubert's position in the history of the piano duet (see, *The One-piano, Four-hand Compositions of Franz Schubert: Historical and Interpretative Analysis* PhD. Diss. Indiana: 1968).
8. Aside from Schenker's comments on variation form in *Free Composition* (Chapter 5, section 7 §323 pp.144-145) he considers this type of composition in three other articles: the analytical study of Brahms' *Variations and Fugue on a Theme by Handel* Op.24 in *Der Tonwille* IV 2/3 pp.3-46 and supplement; 'Ein Gegenbeispiel: Max Reger Op.81' in *Das Meisterwerk* II pp.171-192, and 'Beethovens Dritte Symphonie zum ersten Mal in ihrem wahren Inhalt dargestellt' in *Das Meisterwerk* III pp.25-101.

9. Nicholas Rast: *Tonal Structure, Form and Design in Schubert's f-minor Fantasy for Piano Duet, D.940* (MMus. diss. U. of London, King's College: 1981).
10. There are two important collections of essays: *Readings in Schenker Analysis and Other Approaches*, ed. Maury Yeston (New Haven, Yale: 1977, and *Aspects of Schenkerian Theory*, ed. David Beach (New Haven, Yale: 1983). In addition to these anthologies there are a number of other articles: Charles Burkhart: 'Schenker's "Motivic Parallelisms"' in *Journal of Music Theory* 22 (1978) pp. 145-175; William Clark: 'Heinrich Schenker on the nature of the Seventh Chord' in *Journal of Music Theory* 26 (1982) pp. 221-259; Allan Keiler: 'The Syntax of Prolongation' in *In Theory Only* 3 (1977) pp. 3-27; Robert Morgan: 'Dissonant Prolongations: Theoretical and Compositional Precedents' in *Journal of Music Theory* 20 (1976) pp. 49-91; Herbert Riggins: 'Neighbor Motion and its Graphic Notation in Schenker's *Free Composition*' in *In Theory Only* 6 (1980) pp. 3-11; William Rothstein: *Rhythm and the Theory of Structural Levels* PhD diss., Yale: 1981., and Robert Wason: 'Schenker's notion of scale-step in historical perspective: non-essential harmonies in Viennese fundamental bass theory'.
11. Heinrich Schenker: *Free Composition* translated and edited by Ernst Oster (New York: 1979) Chapter 5, pp.128-145

12. Four such publications are, J. E. van Ackere: *Schubert en de Romantiek* (Antwerp: 1963); Gustav Becking: 'Schubert und die Romantik' (a paper submitted at the 1928 Schubert Congress which never appeared in print); Joseph Kerman: 'A Romantic Detail in Schubert's *Schwanengesang*' in *Musical Quarterly* 48 (1962) pp.36-49, and Irene Levenson: 'Smooth Moves: Schubert and Theories of Modulation in the Nineteenth Century' in *In Theory Only* 7 (1983) pp. 35-53.

Chapter 2: The Fantasies; Schubert's apprenticeship and beyond

During the final compilation of this dissertation it became clear that one area of Schubert's piano-duet repertory does not easily find a place within an argument which is the product of the distillation of my analytical and historical research. However, it is necessary to explain the reasons for excluding these pieces from the main body of the thesis. We are concerned here with the works entitled 'fantasy' which Schubert wrote for piano duet.

Before looking at the specific characteristics of these pieces by Schubert, it is important to establish a general understanding of the term 'fantasy' itself. Willi Apel in the *Harvard Dictionary of Music* defines 'fantasy' as:

"...a composition in which the 'free flight of fancy' prevails over contemporary conventions of form, style, etc. ... the term covers a great variety of types."

In volume one of *Das Meisterwerk* Schenker published a study entitled '*The Art of Improvisation*'. As part of this article he included a commentary on C.P.E. Bach's earlier study on improvisation which formed Chapter 7 of his *Essay on the True Art of Playing Keyboard Instruments*². In this Chapter Bach discusses the properties of the 'free fantasia'. He begins with a general definition:

"A Fantasia is said to be free when it is unmeasured and moves through more keys than is customary in other pieces, which are composed or improvised in metre."

He goes on to say that free-fantasia compositions,

"...require a thorough understanding of harmony and acquaintance with a few rules of construction."

"Natural talent" and the "ability to improvise" are essential requirements for the composer, he adds.

There is no question that Schubert had natural talent. Indeed, the spontaneity of his compositional process has often been noted in the literature³. As to his ability to improvise, contemporary accounts of Schubert's dance-music improvisations at the regular meetings of the Schubert circle, known as the 'Schubertiads' attest to that. It will become clear that Schubert's piano-duet fantasies provided him not only with a vehicle through which to express his natural grasp of harmonic construction (in the case of the three early fantasies) but also a medium through which he could develop and refine his compositional skill.

Although the works under examination here are not entirely 'free' within C.P.E. Bach's definition, the frequent time-signature and tempo changes dilute the effect of the barline.

In these ways, then, Schubert is clearly practicing composition in a way which is consistent with the ideals of the improvisatory process.

In all, Schubert wrote eight complete works entitled 'Fantasy':

1810	Fantasy in G major for piano duet	D.1
1811	Fantasy in c minor for piano solo	D.2E (Olim D.993)
1811	Fantasy in g minor for piano duet	D.9
1813	Fantasy in c minor for piano duet	D.48
1818 ?	Fantasy in C major for piano solo 'Grazer'	D.605A
1822	Fantasy in C major for piano solo 'Wanderer'	D.760
1827	Fantasy in C major for violin and piano	D.934
1828	Fantasy in f minor for piano duet	D.940

In addition to these complete works two fragments survive: a Fantasy in G major for piano duet D.1B of 1810, and a Fantasy in C major for piano solo D.605 of 1821-3. There is also a missing Fantasy in E flat major for piano solo D.Anh I.10 (1825?). The Sonata in G major D.894 was originally published in 1827 by Haslinger as *Fantasie, Andante, Menuetto and Allegretto* but in the manuscript which is in the British Library, London (Add. MS. 36738) Schubert makes no mention of 'fantasy' ⁴.

This is not the place for a full study of Schubert's Fantasies. It is important, however, to identify the significance of this genre for Schubert, the apprentice, and Schubert, the mature composer. No type of composition is more representative of the romantic aesthetic than this; and it is easy to see how an immature composer, as Schubert was for the first three piano-duet fantasies (D.1, D.9 and D.48)⁵, might easily allow his imagination too much freedom. For, in spite of the inclusion of well-defined forms within these pieces, such as the march and trio in the 'first movement' of the Fantasy D.1 (measures 315 to 348), there is, at least at the foreground, little sense of overall unity. Quite the reverse is true of the one piano-duet fantasy which Schubert wrote in his last year, the *Fantasy in f minor* D.940. As the present author's Master's dissertation shows, the success of this piece is a direct result of its background unity.

We will be returning to this piece later in the chapter.

The objective here is to identify, in general terms, the contribution of Schubert's piano-duet fantasies to the representative sample of works for piano duet which are the subject of this study. The structure of the dissertation traces the development of Schubert's compositional process from well-defined smaller pieces, such as the marches, to larger, sonata-form compositions. The rôle that the internal organization of tonal forces, as defined by Schenkerian theory, plays within the unfolding of a specific formal design is central to the argument. Put another way, the extent to which tonal structure and formal design integrate is used as a measurement of Schubert's approach to the piano duet as a genre in itself and tonal composition in general.

In the early piano-duet fantasies, Schubert attempts to embrace a variety of forms within an apparently fluid overall structure in which the stability of the central tonality is constantly questioned. The first fantasy, and Schubert's first recorded work, the *Fantasy in G major* D.1 clearly displays this process.

D.1

A three-movement work in which each movement is subdivided into smaller sections which are characterized by a change of tempo, key and sometimes also time signature, this fantasy is highly charged with both tonal and formal uncertainty. This ambiguity is also at the larger level: the work appears to begin in G major and end in C major. On closer scrutiny the apparently unusual practice of beginning in one key and ending in another can be explained in terms of a large V - I progression in C major. In order to achieve this it is necessary to consider this piece as essentially a single-movement structure. The constant tempo changes within the first two 'movements', and stability of tempo and key in the *Finale* (*Allegro Maestoso*) which is firmly in C major throughout, emphasize the resolutive function of this final movement*. It is the contention, therefore, that this is a fantasy in C major, not in G major as it is commonly labelled. Consequently all chord symbols in the following discussion will be relative to C major as the overall tonic. The formal plan of the entire composition is as follows:

D.1 Fantasy in C major (sic)

I. 348 measures

Mm.:	1-8		9-22		23-124		125-178		179-243	
Tempo:	Adagio		Andante		Allegro		Piú moto		Presto	
Time sig.:	2/4								6/8	
Harmony:	V				II		IV		V	

Mm.:	244-246		247-283		284-314		315-348	
Tempo:	Adagio		Allegretto		Presto		March I Trio	
Time sig.:	2/4							
Harmony:	I				VII		IV	

II. 615 measures

Mm.:	1-3		4-5		6-13		14-173	
Tempo:	Presto		Adagio		Allegro		Allegretto	
Time sig.:	2/4							
Harmony:	V						I- VII	

Mm.:	174-177		178-223		224-246		247-264	
Tempo:	Adagio		Presto		Adagio		Andante	
Time sig.:	2/4		6/8		2/4			
Harmony:	VII		VII					

Mm.:	265-404		405-438		439-524		525-615	
Tempo:	Vivace		Comodo		Allegro		Adagio	
Time sig.:	2/4						2/2	
Harmony:	vii		III				VII-V	

III. *FINALE (Allegro Maestoso)*: 222 measures. I (C major).

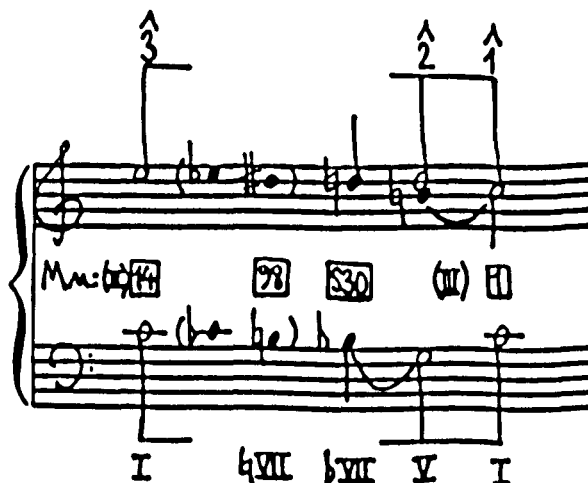
By reading each 'key area' as a tonicization of a scale-step a formal pattern emerges which does not coincide with the three-movement structure of the foreground. According to the tonal plan, the form might be expressed as follows:

A: Measures I.1 to II.14 V - I - VII - IV - V

B: Measures II.14 to III.222 I - VII - VII - V - I

From the outset the goal of tonal motion is the achievement of C major. The note c as the overall tonic is hinted at relatively early in the piece (measures 244 to 283) where c minor is achieved at the end of an acceleration to the dominant of that key (measures 1 to 243). Minor is resolved to major in the fourteenth measure of the 'second movement' to complete the second part of the tonal process. Affirmation of C major as the tonic is provided by the *Finale* which has the only extended period in this key. The greater tonal stability here coupled with a consistent time signature, tempo and theme emphasizes the resolutive function of this third movement. In this way the *Fantasy D.1* is dependent on its finale for the essential clarification of tonal motion. In Chapter 4 another, not entirely dissimilar, process is demonstrated in the *Grande Marche Héroïque D.885* in which an extended coda proves essential for the unification of thematic material.

Ex.1:



The graph above shows the 3 - 1 fundamental line from the initial achievement of C major (in measure 14 of the 'second movement') to the beginning of the final 'movement'. This interpretation proposes a model in which, because of such a long introduction, the overall tonic is delayed until late in the piece. And stability in this tonic (C major) is not established until the final 'movement'! What effect does this have on tonal coherence? Clearly tonal ambiguity is a significant feature at the foreground; but, with this work, Schubert sets a precedent which is followed in his third piano-duet fantasy, D.48. There is certainly no reason to exclude the possibility of an extended introduction of even 348 measures (D.1) or 213 measures (D.48). In Schenkerian terms the goal is everything; although the means of achieving that goal are important, Schenker declares in *Free Composition* that only the middleground and background can give the true picture with reference to deceptive beginnings'.

D.9

Schubert's second complete piano-duet fantasy is that in g minor, D.9 of 1811. A much shorter work than its predecessor, it is also more stable in tempo and time signature. The work is in one movement, with the following form:

Fantasy in g minor, D.9

Mm.:	1 - 15		16 - 135		136 - 168	
Tempo:	Largo		Allegro		Tempo di Marcia	
Time Sig.:	3/4		2/2			
Harmony:	i		iv		v	

Mm.: 169 - 206 || 207 - 217 ||
Tempo: [Allegro] || Largo ||
Time Sig.: 2/2
Harmony: iv VII - V

As the diagram for this movement shows, this piece also begins in one key and ends in another. However, the evidence of the harmonic scheme together with the brevity of the composition as compared with the other two piano-duet fantasies of this period suggests that this may have been originally intended as an introductory movement to a larger work.

The thematic association between the two c-minor sections, measures 45 to 75 and measures 169 to 206, provides formal coherence within the movement.

D.48

The third, and most mature of Schubert's youthful piano-duet fantasies, the *Fantasy in c minor* D.48, is the only one to have been published in any form before the appearance of the first Collected Edition of Schubert's works, in the 1880s. This fantasy was published in 1871 by J.P. Gotthard⁹, without the closing fugue, as *Große Sonate (unvollendet) für pianoforte zu 4 Händen komponiert 1814 von Franz Schubert. (Nachgelassenes Werk)*⁹. It was not published in its complete form until the Collected Edition of 1888. Schubert had also originally included a second fugue between measures 288 and 289 of the published version which has not appeared in print¹⁰.

In spite of the failure of this work too to end in the key in which it begins, in either the Gotthard version or that of the Collected Edition, it is the best-formed of Schubert's three early piano-duet fantasies. In the 'complete' version it is broadly in four movements but, like the later, f-minor fantasy D.940, these are intended to be played without a break. The plan of the composition is as follows:

- | | | | |
|-----|--------------------------|----------------------------|-----------------------|
| I | Adagio-Allegro agitato | 2/2 (mm. 1-4; 5-213) | c minor
to F major |
| II | Andante amoroso | 3/4 (mm. 214-288) | B \flat major |
| III | Allegro-Adagio | 4/4 (mm. 289-489; 490-504) | B \flat major |
| IV | Fugue (Allegro maestoso) | 4/4 (mm. 505-584) | B \flat major |

The dependence on B flat major of the last three movements of this piece suggests that it should, like the fantasy D.1, be relabelled, this time, as '*Fantasy in B flat major*'. A diagram of the entire piece makes things clear. All chord symbols relate to the key of B flat major.

Fantasy in B flat major (sic), D.48

I. *Adagio* (measures 1-4) - *Allegro agitato* (measures 5-213). 2/2

Mm.: 1 - 4 || 5 - 213 ||
Harmony: ii(I - V || I - V) IV - V(I - V - I) ||

II. *Andante amoroso* (measures 214-288). 3/4 : I - V

III. *Allegro* (measures 289-489) - *Adagio* (measures 490-504). 4/4

Mm.: 289 - 328 || 329 - 337 || 338 - 341 || 342 - 345 ||
Harmony: I #II III IV

Mm.: 346 - 352 || 353 - 357 || 358 - 362 || 362 - 368 -
Harmony: V → vi - VI iii(IV - I)

Mm.: 381 - 388 - 394 - 436 - 446 - 489 || 490 - 501(-504) ||
Harmony: ii - I - VI - i - iv III - V

IV. FUGUE. *Allegro Maestoso* (measures 505-584). 4/4
B flat major (I) throughout.

The fact that when Gotthard published this fantasy in 1871 he entitled it '*Große Sonate*' is an indication of its greater formal coherence. Indeed, where previous commentators have been dismissive of the two earlier piano-duet fantasies, D.48 is singled out as a much more mature work which presages the late, great *Fantasy in f minor* D.940. The re-identification of the work's overall tonality does nothing to undermine this view, except in that it changes the formal rôle of the initial, fugal movement within the overall structure. The subject of this 'fugue' is a chromatic motif which is a thematic unifying feature throughout the composition:

Measures 5 - 10:

Ex.2:



Measures 138 - 143:

Ex.3:



Measures 213 - 215:

Ex.4:



As the subject becomes less chromatic and more diatonic, measures 291 to 293:

Ex.5:



And, finally, in the closing fugue:

Ex.6:



where the chromaticism, rather than serving to create doubt as to the true tonality, underlines it. So, even a fairly superficial investigation of this work reveals an integration between tonal structure and thematic unity. The Fantasy (D.48) evolves through the means of motivic unity, from tonal uncertainty to tonal stability in B flat major. With respect to motivic unity, D.48 pre-echoes the *Fantasy in C major for piano solo, 'the Wanderer' D.760*''.

D.940

The last piano-duet fantasy, the *Fantasy in f minor* D.940, is the only such work to begin and end in the same key. Moreover, within its boundaries, it contains not only Schubert's most beautiful music but also some of his most mature and highly-developed musical composition.

For such a famous piece, surprisingly little has been written specifically on the *f-minor Fantasy*. Indeed, only two articles concerned with this piece alone exist. The first, written by Maurice Brown, and published in his book *Essays on Schubert* (1954) is a descriptive article which considers the sketches and other manuscript material; the second, by Edwin Smith, is mildly analytical and appeared in an English journal, *The Music Teacher*, in 1979. The eminent scholar, Christa Landon had just completed an article on the genesis of the *f-minor Fantasy* which was to have been included in the Cambridge Schubert studies when she was tragically killed in a plane crash. All of her materials for this study were lost with her.

More recently an article by William Kindermann has appeared in *Schubert: Critical and Analytical Studies* (Ed. Frisch, Nebraska: 1986). His essay, entitled 'Schubert's Tragic Perspective' examines the dichotomy of 'minor (inward imagination)' and 'major (external perception)'. Kindermann traces this model back to the songs, using *Erkönig* D.328, *Dass sie hier gewesen* D.775 and *Ihr Bild* D.957/9 as examples. He defines the expression of this major/minor contrast in the *Fantasy in f minor* as an exploration of:

"...the structural and expressive possibilities inherent in the controlled juxtaposition of strongly contrasting themes."

The 'contrasting themes' of which Kindermann speaks are represented in the first movement as:

- 1) The lyrical theme which is first stated at the opening of the fantasy:

Ex.7:



- 2) The more accented dotted-rhythm second theme, which he describes as having a 'funereal rhythm':

Ex.8:



In the final movement of this work Schubert recapitulates the material which opens the composition. This time, however, the 'second subject' leads into a fugue. Schubert's fugal writing is largely concentrated in the fantasies, and it seems likely that he saw the contrapuntal style as a contributory factor to the process of disintegrating dissonance, and finding ultimate resolution. It is certainly significant that he should end a work which, by its title, is representative of a looser compositional style with the most highly organized of all compositional styles. Fugues feature prominently in all of the piano-duet fantasies except D.9, and the *Fantasy in C major for piano solo*, 'the Wanderer' D.760 has a famous fugal finale.

Of the fugue at the end of D.940, Kindermann makes the important observation that the tonic (f minor) is not regained until the final statement of the fugal subject, in the lowest register.

Kindermann also finds important reverberations in the coda to D.940 where fundamentally significant elements, which have provided the material for the body of the piece, are juxtaposed. He finally ties up his argument for the unity of contrasting themes by saying that in the *f-minor Fantasy*,

"...thematic conflict actually becomes a structural device. Transitional passages of the Classical style are absent here; indeed, the dramatic power of the work derives in large measure from abrupt thematic juxtaposition. The first and last movements of the piece, themselves interrelated, systematically exploit the juxtaposition of the two contrasting themes."¹²

Kindermann's contention that elements of Classical style are absent in D.940 is true; however, he has not the space to pursue this aspect of the work further by penetrating more deeply into the structure of the composition.

The present author's Master's dissertation comprises an analysis of the complete work (D.940) using Schenkerian techniques. It is demonstrated herein that Schubert achieves a high level of integration between tonal properties, as evidenced by the fundamental line, and motivic/thematic material. But this analysis also shows other things which contribute to our understanding of Schubert's compositional processes.

The ability of Schenkerian analytical techniques to penetrate deep into the heart of the composition and to reveal the origin of voice-leading patterns in the fundamental structure itself leads to a much deeper awareness of the relationship of form and content.

The *Fantasy in f minor* D.940 is in four movements which are played without a break, thus:

- I. *Allegro moderato* (measures 1-120) 4/4 f minor to F major.
- II. *Largo* (measures 121-163) 4/4 f sharp minor.
- III. *Allegro vivace - Con Delicatezza - Allegro vivace (D.C.)* (measures 164-272; 273-312; 313-437) 3/4 f sharp minor.
- IV. *Tempo I [Allegro moderato]* (measures 437-570. Fugue: measures 474-544; coda: measures 545-570) 4/4 f minor.

The juxtaposition of f minor/F major - f sharp minor - f minor is immediately surprising; and it is not out of place to explain again the process by which Schubert achieves this. A form table for each movement, together with material taken from the graphs of the Master's dissertation should make things clear:

I. *Allegro moderato* (measures 1-120) 4/4 f minor to F major.

Ex.9:

I. *Allegro moderato*

f minor: i bvi hiii (I II Y f i) I iv6 Y f f I

Bg. : 5 5 4 3 2 i ||
Mg.2 : (5 4 3) || (5 4 3 2 1) ||
Bass : i vi (i) hiii (i) i iv6 V f f I
Mm. : 2 65 68 71 75 82 ---- 83 91 100 101 - 102

II. *Largo* (measures 121-163) 4/4 f sharp minor.

Ex.10:

II. *Largo*

f sharp minor: i II i6 Y i i II i Y i

Bg. : 5 5 4 3 2 || i
Mg.1 : 5 4 3 2 i
Bass : i II i6 V i - II i V i
Mm. : 122 127 131 132 149 150 155 162 163 164

The line at the background here closes at the beginning of the 'Scherzo', in measure 164.

III. *Allegro vivace - Con Delicatezza - Allegro vivace* (measures 164-272; 273-312; 313-437) 3/4 f sharp minor - D major - f sharp minor.

Ex.11: III. [Allegro Vivace] [Con Delicatezza] [Allegro Vivace]

f sharp minor: i iv⁶ V⁴ i VI (I⁶ VII I V I) i iv⁶ V⁴ i

Bg. : 5
Mg. 1 : 5 4 3 2 i ||
Mg. 2 : 5 4 3 2 1 ||
Bass : 1 iv⁶ V⁴ i VI (I VII I V I)
Mm. : 165 261 262 263 264 274 296 308 311 312

Bg: 5 4 3 2 i ||
Mg. 1 :
Mg. 2 :
Bass : 1 (1 iv⁶ V⁴ i)
Mm. : 314 410 411 412 413

IV. *Tempo I (Allegro moderato)* 4/4 f minor.

Ex.12: IV. TEMPO I.

i iv V⁴ i - V⁴ = i

Bg. : 5 5 4 3 2 i ||
Mg. 1 : 5 4 3 2 i ||
Bass : 1 iv V⁴ i 1 V⁴ i
Mm. : 438 542 543 - 544 555 - 562 - - 563 ||

As the graphs and tables above show there is a conflict between the multiplicity of forms of the fundamental line, which is at its most powerful when, during the middle two movements an alternative tonic, a semitone away from the overall tonic, is established, and the overall coherence proposed by a single entity; it has already been noted that the final movement recapitulates and develops the first movement. For comparison and clarification a graph and form table for the entire composition is provided:

Ex. 13:

I. All. Mod.

II. LARGO

III. TEMPO

Form Table (Numbers in Boxes):

- System I: [2] [5] [6] [7] [7] [8] [8] [9] [10] [10] [10] [10]
- System II: [12] [17] [31] [32] [49] [50] [53] [52] [13] [14] [15] [24] [22] [23] [24] [27] [27] [28] [31]
- System III: [34] [40] [41] [42] [43] [48] [52] [53] [54] [55] [52] [53]

Chords and Harmonic Progressions:

- System I: vi , $\text{iii}(\text{i II V} \frac{1}{2} \text{fi})$, $\text{IV} \frac{1}{2} \text{fi}$, I
- System II: $\text{ii}(\text{i II} \frac{1}{2} \text{V i} - \text{II i V i} - \text{IV} \frac{1}{2} \text{fi VI}(\text{I} \text{III I V I}))$
- System III: $\text{ii}(\text{i IV} \frac{1}{2} \text{fi i})$, $\text{i IV} \frac{1}{2} \text{fi i} - \text{V} \frac{1}{2} \text{fi}$

Bg. : 5
Mg.1 : 5 4 3 2 1 ||
Mg.2 : (5 4 3) || (5 4 3 2 1) ||
Bass : 1 v1(1) 111(1) 1 iv^e V₄ $\frac{5}{4}$ 1
Mm. : 2 65 68 71 75 82 ---- 83 91 100 101 - 102
Movt.: I (*Allegro moderato*)

Bg. :
Mg.1 :
Mg.2 : 5 4 3 2 1 5
Mg.3 : 5 5 4 3 2 (1)5
Mg.4 :
Bass := 11(1 II 1^e V 1 - II 1 V 1)
Mm. : 122 127 131 132 149 150 155 162 163 164
Movt.: II (*Largo*)

Bg. :
Mg.1 :
Mg.2 : 5
Mg.3 : (1)5 4 3 2 1 ||
Mg.4 : 5 4 3 2 1 ||
Bass := 11(1 iv^e V₄ $\frac{5}{4}$ 1)VI(I VII I V I)
Mm. : 165 261 262 263 264 274 296 308 311 312
Movt.: III (*Allegro vivace*) (*Con Delicatezza*)

Bg. :
Mg.1 :
Mg.2 : 5 4 3 2 1 ||
Mg.3 :
Mg.4 :
Bass := 11(1 iv^e V₄ $\frac{5}{4}$ 1)
Mm. : 314 410 411 412 413
Movt.: (*Allegro vivace*)

Bg. : 5 5 5 4 3 2 1 ||
Mg.1 : 5 4 3 2 1 ||
Mg.2 :
Bass : 1 iv V₄ 1 1 V₄ 1
Mm. : 438 542 543 - 544 555 - 562 - - 563 ||
Movt.: IV (*Allegro moderato*)

The absence of any transferred forms below the first level of the middleground emphasizes the function of resolution which characterizes this movement. The fugue here provides a foreground indication of imminent closure of the structural line.

Two other features of this fantasy need to be discussed before moving on. Both are modulatory phenomena and provide useful comparisons with specific works which are examined in closer detail later in this dissertation. The first is a procedure whereby a modulation is effected by reinterpretation of an upper-voice note as the headnote for a descent in a new key. This may or may not occur in conjunction with enharmonic reinterpretation. This can be found in the first movement (measures 65 to 75). Schubert begins to unfold a descent in d flat minor across measures 65 to 71, but after reaching the 3 (f flat) he alters it to e natural and uses this note as the headnote for a complete 5 - 1 descent in a minor (measures 75 to 83)¹².

The second is the practice of juxtaposing keys a semitone apart. In D.940 the f minor of the first and last movements sandwiches f sharp minor (in the second and third movements). The likelihood here is that f sharp minor represents an enharmonic respelling of flat 11, that is, g flat minor. The note g flat is a significant pitch in the coda (measures 550 to 554 and measures 561 to 562). The *Allegro in a minor*, "Lebensstürme" D.947 recalls both these procedures in one example as Schubert modulates from a minor to A flat major (measures 59 to 116). As a hybrid form of both phenomena this passage in "Lebensstürme" makes an interesting comparison.

Clearly Schubert found the fantasy a fertile area in which to develop his compositional craft and fluency of improvisation; however, there is an inherent risk that this kind of composition stimulates an overactive imagination in the construction of tonal processes, and an underdeveloped skill in formal construction. What this thesis attempts, then, is to identify the process by which Schubert reconciled any imbalance between these two factors of his compositional art and ultimately achieved a satisfactory integration of the two: form and content.

Notes

- 1 *Das Meisterwerk in der Musik I* (Munich: 1925) pp.11-40.
- 2 C.P.E. Bach, *Essay on the True Art of Playing Keyboard Instruments*, translated by William J. Mitchell (London: 1974) pp.430-445.
- 3 One of the most important articles to explore this aspect is Maurice Brown, "Clairvoyance or Claptrap?" in *The Music Review* (1945) pp.202-205.
- 4 This is published as *British Library Facsimiles: II* (British Library, London: 1980). This facsimile contains an introduction by Howard Ferguson and a note on the paper of the manuscript by Alan Tyson.
- 5 Full documentation of the relevant manuscript source material and first editions of all the piano-duet fantasies has been included in the Appendix at the end of this dissertation.
- 6 This recalls a phenomenon observed by Philip Friedheim in the music of Arnold Schoenberg and, in particular, in the first of the *Five Orchestral Pieces* Op.16. 'Friedheim notes that as the set structure becomes more stable so too does the rhythm: 'resolution' of tonal and rhythmic features occurs simultaneously. See Philip Friedheim, 'Rhythmic Structure in Schoenberg's Atonal Compositions' in *Journal of the American Musicological Society* 19 (1966) pp.59-72.
- 7 *Free Composition* (New York: 1979) §303, p.129.

- 8 Alexander Weinmann has produced a full study of Gotthard's activity as a publisher of first editions of Schubert's music: *J.P. Gotthard als später Originalverleger Franz Schuberts* (Wiener Archivstudien Band 2. Krenn, Vienna: 1979).
- 9 See Appendix, pages 164-165.
- 10 This fugue has been completed independently by Fr. Reinhard van Hoorickx and also by the present author (see Appendix).
- 11 The literature concerned with the "Wanderer" Fantasy is quite large. Some of the more important articles are:
Maurice Brown, 'Schubert's "Wanderer" Fantasy' in *The Musical Times* (1951) pp.540-542.
Paul Badura-Skoda, 'Unbekannte Eigenschriften bekannter Schubertwerke I' in *Neue Zeitschrift für Musik* 122 (1961) pp.501-506.
Alfred Brendel, 'Die beiden Versionen von Schuberts "Wanderer-Fantasie"' in *Österreichischer Musik Zeitschrift* 17 (1962) pp.57-60.
Arthur Godel, 'Zum Eigengesetz der Schubertschen Fantasien' in *Schubert-Kongreß, Wien: 1978* (Ed. Brusatti) pp.199-206.
- 12 'Schubert's Tragic Perspective' p.81.

- 13 James Webster in his article, 'Schubert's Sonata Form and Brahms' First Maturity' in *Nineteenth-Century Music* 11/1 (1978) pp.18-35; 111/1 (1979) pp.52-71, has identified this procedure in Schubert's Symphony No.7 in b minor 'The Unfinished' D.759. In measures 39 to 43 the horns reinterpret the tonic-triad pitch $\hat{3}$ as $\hat{5}$ in G major.

Chapter 3 : Marches for piano duet. The adumbration of new compositional techniques.

The aim of this chapter is not to present exhaustive analyses of each of Schubert's marches for piano duet but to identify, through representative analyses, compositional and structural issues which can be seen to reverberate in Schubert's larger contributions to the medium.

Schubert's output of piano-duet marches is comparatively large and, in general terms, stylistically varied. As the chronological table for the marches shows the production of these pieces can be divided into two periods: those pieces written for the Esterhazy family during Schubert's visits with them to Zseliz, Hungary in 1818 and 1824, and those written during the last three years or so of his life. The Esterhazy marches themselves fall into three groups: D.602 (3); D.733 (3), and D.819 (6). All of these were published during Schubert's lifetime.

Through the key relationship between the marches and their trios this repertory as a whole can be subdivided into four groups:

- 1) March: I or i; Trio: VI or bVI (D.602.1 & 2; D.819.6, and D.859).
- 2) March: I or i; Trio: i or I, i.e. tonic major to minor or vice versa (D.602.3, and D.819.2, 3 & 5).
- 3) March: I; Trio: IV (D.733 complete; D.819.1 & 4, and D.928).
- 4) March: I; Trio: vi, i.e. major to relative minor (D.968b complete).

Marches for Piano Duet.

Deutsch No.		T. S.	Tonality		Notes
			March	Trio	
D. 602 (Op. 27)	1	c	b	G	"3 Marches Héroïques"
	2	c	C	A	Zseliz 1818 or 1824;
	3	c	D	d	first published December 1824.
D. 733 (Op. 51)	1	2/4	D	G	"3 Marches Militaires"
	2	C	G	C	Zseliz Summer-Autumn
	3	C	E \flat	A \flat	1818 (?); first published August 1826
D. 819 (Op. 40) "funèbre"	1	C	E \flat	A \flat	"6 Grandes Marches"
	2	C	g	G	Zseliz 1818 or 1824;
	3	2/4	b	B	first published
	4	C	D	G	May/September 1825
	5	C	e \flat	E \flat	
	6	C	E	C	
D. 859 (Op. 55)		C	c	A	"Grande Marche Funèbre" 1.XII.1825;
					first published February 1826.
D. 885 (Op. 66)		C	a	e	"Grande Marche
			a	F/d	Héroïque" 3.XII.1826; first published September 1826.
D. 928		2/4	G	C	"Kindermarsch"
					11 or 12 October 1827; first published 1870.
D. 968b (Op. 121)	1	6/8	C	a	"2 Marches
	2	6/8	C	a	Caractéristiques" 1826 (?); first published 19.XI.1829.

The simplest march model in the Schubert piano-duet repertory is the little march he composed for Faust Pachler on 11 or 12 October 1827 known as the '*Kindermarsch*' D.928 (olim D.886). In the letter to Pachler which accompanies the manuscript of this piece Schubert writes:

"I herewith send your honour the four-handed piece for little Faust. I fear I shall not earn his applause, since I do not feel that I am exactly made for this kind of composition. I hope that your honour is in better health than I, for my usual headaches are already assailing me again. Pray give Dr. Karl my heartiest good wishes for his name-day and tell him that the book of my opera, which that sloth, Herr Gottdank, has had for months to read through, has not yet been returned to me even now. For the rest, I remain,

with all respect,

your most devoted

Franz Schubert."²

Vienna, 12 October 1827.

Schubert's disclaimer here is interesting for, although, as we have already observed, this march is simple, it is also a highly integrated composition. Figure 3.1³ shows a middleground graph for the entire piece.

Through the key relationship between march and trio and the choice of fundamental-line form Schubert achieves a level of unity which is unsurpassed in the other works which will be considered.

The march descends from δ and, although this is the most unstable fundamental-line form, in this piece Schubert turns the inherent properties of lesser stability to advantage⁴. Broadly, the march articulates a straightforward $\delta - \dot{i}$ descent. The δ is prolonged during the initial. A section. This

prolongation, harmonized by a closed period in the tonic (G major) also emphasizes the $\hat{6}$ by an octave registral coupling upwards. The B section completes the first part of the interruption form as, after a brief link (measures 9 to 14), $\hat{7} - \hat{6} - \hat{5}$ appear in the obligatory register. A first-level middleground $\hat{3} - \hat{1}$ descent which tonicizes III is appended to the $\hat{5}$. The $\hat{5}$ which begins the second half of the structural descent in section A, resolves this mediant harmony into tonic harmony. After a short prolongation through arpeggiation of this $\hat{5}$ the last four elements of the fundamental line are heard. This closure is emphasized registrally, it occurs an octave above the obligatory register, and harmonically, supported by an extended $V \frac{6}{4} \frac{5}{3} I$ progression in the bass.

The trio, instead of descending from $\hat{6}$, descends from $\hat{5}$. And, as it is in the subdominant, prolongs the same headnote (g) as the march. As in the march, the initial, A section consists of a closed period in the tonic (C major); but in this case the tonic key is accented by a transferred descent of the fundamental line ($\hat{5} - \hat{1}$) to the first-level middleground which is stressed by its appearance an octave higher than the obligatory register.

The middle section of the trio also recalls procedures which were encountered in the march: but here with more emphasis. A full, second-level middleground $\hat{3} - \hat{1}$ descent which tonicizes III# (E major) provides the content. The headnote ($\hat{3}$) is affirmed by a third-level middleground descent (measures 9 to 12). This activity in the upper voice occurs above the obligatory register.

The final section begins immediately with the headnote supported by the tonic chord (C major) as g sharp is resolved to g natural. This $\hat{5}$ is prolonged as a linear progression of a fourth upwards leads to a flat VI harmony before returning to the $\hat{5}$ supported by dominant harmony (measures 17 to 22). The remaining

two measures complete the descent which, as before, is emphasized an octave above the obligatory register, and the harmonic support of an extended V $\frac{4}{2}$ cadential progression in the bass.

The level of unification manifest in D.928 is generated principally by two compositional features: the structural similarity between the march and trio, underlined by the element of 'development' which characterizes the tonicization of the mediant triad (march: measures 15 to 16; trio: measures 9 to 16) and the ramifications of the tonic/subdominant key relationship in conjunction with the descents from \hat{A} and $\hat{5}$ respectively in the march and trio. Furthermore, by dividing the line at the structural $\hat{5}$ Schubert achieves the advantages of both descending from \hat{A} and $\hat{5}$.

The graph for D.733.1 (figure 3.2), probably Schubert's best-known march, shows an alternative approach to this overall key structure⁶. Each of the two main structural divisions, the march and the trio, unfold a descent from $\hat{5}$. Within the march, itself a three-part structure, several features are observable which will be seen to be characteristic not only of Schubert's compositional approach to the march/trio form but also of his practice in larger forms for piano duet.

As an alternative to wide-ranging modulation (there is some interesting chromatic colouring in the trio which is discussed below) there is an emphatic prolongation of the headnote for the movement ($\hat{5}$). In the first section (measures 1 to 22) this is achieved as the harmonic support in the bass for the $\hat{5}$ is altered from I to V. The middle section (measures 25 to 40), supported by a sequence in the bass (V (V - I); IV (V - I)), articulates a full neighbour-note progression e - d - e. The final section (measures 41 to 58) at first regains the $\hat{5}$ an octave higher than the obligatory register for emphasis. The $\hat{5}$, now in the

obligatory register, is achieved in measure 43, and after a prolongation through measure 47, descends to *i* by measure 58.

At the level of the actual piece the form is broadened as the introduction is repeated at strategic points:

a) Measures 1 to 6, the opening.

b) Measures 25 to 30 introduction to the B section, more fully harmonized.

c) Measures 58 to 64, link to the trio and, at its repeat, the coda.

This is a device which Schubert also uses in the *Allegro in a minor "Lebensstürme"* D.947.

The trio, in the subdominant, also descends from *5̂*. Like its march partner much of this movement is concerned with prolongation rather than descent; although, as in the march, ascending and descending linear progressions within the movement contribute to the characterization of the prolongation. The middle section of the trio contains the only vestige of a middleground alternative key region as an abortive descent from *5̂* in B-flat major is initiated which only continues as far as the '*i*' within the g minor descent of the background. The function of this is to highlight a tonicized flat III harmony in the interplay of G major and g minor which pervades this trio. The internal counterbalance of major and minor is a Schubertian idiosyncrasy which will be discussed thoroughly during the course of this dissertation. However, the use of this interplay in D.733.1 at the various levels of compositional activity is particularly interesting and varied. The trio, as we have already observed, articulates a descent from *5̂* in

G major. But, when the $\hat{5}$ is regained at the beginning of the second half (measure 19) it is harmonized in g minor. This $\hat{5}$ is prolonged through a repeated progression I to flat III in the bass which emphasizes the minor mode. The line subsequently descends to $\hat{1}$ in g minor, closing in measure 34. A codetta returns the mode from minor to major.

The procedure of beginning in one mode and closing in another recurs in the extended forms. The *Grande Marche Héroïque* D.885 (*Allegro Giusto*) and the *Allegro in a minor "Lebensstürme"* D.947 (entire composition) both show lines which begin in minor and close in major. In each case there is also a codetta or coda which recalls the 'true' mode of the composition.

A more subtle major/minor operation in D.733.1 intimately connects the march and trio sections. The I - flatIII bass progression supports the juxtaposition of the two notes d natural and f natural. By emphasizing these two notes in this way Schubert suggests a D major/d minor dichotomy without actually stating d minor. This has the further effect of achieving an even greater formal integration of march and trio.

One further feature of the trio should be noted before moving on. This is the way Schubert uses register to underline the formal design. Both sections A and A, show the activity of the upper voice in a higher register: the headnote ($\hat{5}$) appears as d^3 , where the middle section, B, shows the $\hat{5}$ an octave lower (d^2). A similar procedure can be found in the trio to the march D.968.b (which is discussed below (pages 61-63) and, in a more developed example, in the *Rondo in A major* D.951 (see Chapter 6, pages 129-134). The use of registral characteristics as an adjunct to formal design is a natural resource of the piano duet medium; but, beyond making observations about Schubert's use of register where appropriate, it is not intended to undertake an exhaustive survey of this

aspect of the piano duets examined in this study. Such a survey would surely generate enough material for a dissertation in itself.

Of the broad tonal models, the first and second categories are at the same time the most Schubertian and the most unusual. The four marches D.602.3 and D.819.2,3 & 5 are pieces which contrast tonic major/minor key regions. We have already seen how Schubert tackled such a structure as an internal, localised feature; but how does he approach such a key relationship when it provides the tonal framework for an entire composition ?

The march D.819.5 known as the "*Marche Funèbre*" from the *Six Grandes Marches* unfolds a descent from $\hat{5}$ in the unusual key of e flat minor (figures 3.3 and 3a). The first section is reminiscent of procedures already encountered in the *Kindermarsch* D.928. The $\hat{5}$ is prolonged throughout this first section as the harmonic support proceeds from the tonic to the dominant; but before this section closes there is a first-level middleground $\hat{3} - \hat{2} - \hat{1}$ descent which tonicizes the mediant triad (cf. D.928, measures 1 to 16).

A change of key signature from six flats to three sharps announces the opening of the B section. The apparent f sharp minor is an enharmonic respelling of g flat minor (iii) and, although the upper voice appears to be prolonging a $\hat{5}$ in this key at the second level of the middleground (in measures 28 to 29) this 'key' is only illusory. The c sharp, after a prolongation of five bars which includes an embedded descent from $\hat{5}$ in f sharp minor (=iii), is revealed as initiating a three-note *Anstieg* which culminates in the $\hat{5}$ of A major (enharmonically, natural IV is reinterpreted as flat V) in measure 34. This key is fully defined at the second level of the middleground. The $\hat{5}$ (e) with its tonic support is affirmed at the outset by a transferred form of the fundamental line in this key at the third level of the middleground. The $\hat{5}$ is regained in measure 37

and descends as far as the $\hat{3}$ by the following measure. The $\hat{3}$ is then prolonged until measure 44 by unfolding. The process which Schenker defines as 'unfolding' is the specific prolongational feature which characterizes this section of D.819.5'.

An interesting feature of D.819.5 is the way in which Schubert presents what is essentially a reprise of the opening material in such a way as to emphasize the closure of the fundamental line. Section A, recapitulates music first heard at the opening of the march; but the foreground is deceptive. What sounds like mere restatement is revealed at the middleground to contain elements which accentuate the new function that this music has to perform. The tonic key returns in measure 50 and the headnote ($\hat{5}$) is regained four measures later. Where before the middleground activity was concerned with prolonging the headnote (measures 5 to 16), at this point there is a significant stress on the subdominant as a fundamental-line form in this key which descends from the $\hat{5}$ is concealed at the second level of the middleground (measures 63 to 64). The headnote of the descent in the subdominant also functions as an $\hat{8}$ in the tonic key so that the actual descent at the background is prefixed by $\hat{8} \hat{7} \hat{6}$ at the first level of the middleground. The structural line for the entire piece closes in measure 72. A twelve-bar coda which parallels material heard at the end of section A (measures 16 to 24) rounds off the movement. The coda contains its own $\hat{3} - \hat{2} - \hat{1}$ descent in the tonic which closes in measure 80. The last four bars convert the mode from minor to major in preparation for the trio.

The fundamental line for the trio of D.819.5 (figure 3.3a) delimits the tonal space $\hat{3} - \hat{1}$ in E flat major. By descending from $\hat{3}$ instead of $\hat{5}$, as in the march, Schubert stresses the contrast of tonic major and minor between these two sections. The nature of the fundamental line form is further underlined by the

plethora of linear progressions of a third which occur at every level.

The headnote ($\hat{3}$) is prolonged through most of the trio. In the initial, A section, Schubert unfolds a first-level middleground transferred interruption form in the tonic (measures 1 to 8); such an unusual procedure arises out of the need to establish the tonic. This need is intensified by the major/minor counterbalance between the march and trio in this case. A parallelistic counterpoint of linear progressions of a fifth and a sixth connect the regained $\hat{3}$ in measure 8 with the second-level middleground $\hat{3} - \hat{2} - \hat{1}$ descent in the dominant (measures 13 to 17) which closes the first part of the trio.

The activity of the second section of the trio is concentrated in the second level of the middleground. At this level an incomplete progression which lacks an initial tonic unfolds a $\hat{3} - \hat{2} - \hat{1}$ progression in flat VI (C flat major) across measures 30 and 31. The headnote of this line (e flat) is prolonged until the structural $\hat{3}$ (g) is regained in measure 38. The line closes without further incident in measure 41; although the $\hat{3}$ is given further emphasis by a third progression which approaches it from above in measure 40. This last element has the effect of recalling the $5 - \hat{1}$ fundamental line of the march which is to be repeated. A coda of six bars, which provides thematic interest at the foreground through imitative exchanges between the hands of the *Primo* part, concludes the trio.

The operation of two different descent forms within the same piece is a procedure which has already been observed in the *Kindermarsch* D.928. In both cases (D.928 and D.819.5) the result of this technique is the achievement of a higher level of integration. In D.928, where lines from $\hat{8}$ and $\hat{5}$ occur together, the key relationship between march and trio generates the prolongation of the same headnote (in this case g). In D.819.5 march and trio establish a contrast between

tonic major and minor which is underlined by the juxtaposition of lines from $\hat{5}$ and $\hat{3}$. Paradoxically then, the inclusion of two apparently contrasting descent forms in the same piece emphasizes rather than undermines tonal stability.

The other main feature of this march is the counterbalance of tonic major and minor. In both this march and D.733.1 this contrast generates tonal exploration of the mediant and submediant triads in their pure or chromatically altered forms. The reasons for this lie at the very heart of the structural composition of the diatonic scale. For it is these two notes which, as the dividers of the upper fifth of the tonic (tonic and dominant) and the lower fifth of the tonic (tonic and subdominant), together generate the relative minor triad. This compositional technique is also found in the *Allegro in a minor "Lebensstürme"* D.947, and the *Rondo in A major* D.951 (see below, Chapter 5).

The exploration of the submediant key area as an alternative to the tonic forms the structural basis of the first of the *Trois Marches Héroïques* D.602 (figure 3.4)^o. From the middleground graph two things are immediately apparent: the importance of registral play, and the emphasis on prolongation. Aside from the contrast of tonic for march and trio, there is no contrasting second-level middleground tonality of any substance.

The headnote ($\hat{5}$) in b minor is stated at the outset. As this $\hat{5}$ undergoes octave registral coupling upwards via a sequential figure (x), an important motivic feature in this march, the bass line proceeds from I to III. This III is tonicized locally by a second-level middleground $\hat{3} - \hat{2} - \hat{1}$ descent (measures 9 to 10) to close the A section. Section B may be further divided into two subsections according to function. The first subsection projects the music towards a regained $\hat{5}$ with the dominant chord as harmonic support to complete the

I - III - V extended bass progression which has unified the music so far; the second, which recalls and develops sequence x (measures 3 to 8) through the connective feature of an ascending third progression (measures 19 to 24), converts the plain dominant chord to a dominant-seventh chord (measure 26). This dominant-seventh chord resolves directly to the tonic chord under the regained $\hat{5}$ which opens section A,. The sequence x returns slightly altered to introduce the structural $\hat{4}$ at measure 31. The upper register at which this $\hat{4}$ and the subsequent closure of the line occurs recalls and resolves the 9th in measure 16 to provide a closer integration between sections A and A, in D.602. Furthermore, the double chromatic appoggiatura to upper and lower voice at the $\hat{3}$ supported by V recalls the appoggiatura in the upper voice at measure 26. The line closes in measure 33.

The trio, in G major, descends from $\hat{5}$ like the march which precedes it. The substance of the structural line is confined to the two flanking A sections. The first of these states the headnote (d) and transfers it up an octave by measure 5. A $\hat{3} - \hat{2} - \hat{1}$ transferred form in the tonic appears at the first level of the middleground. The second A section, which exploits registral play, begins as the first but the octave transposition of the $\hat{5}$ and its subsequent progression to $\hat{4}$ in the same register are concealed by cover tones. The last three elements of the line appear in the same register as they had in their first-level middleground manifestation in measures 7 and 8. The close connection which is formed by this process of variation provides the trio with a high level of integration. The absence of any statement of a structural note in the B section explains this. This middle section, the contents of which operate at the second and third levels of the middleground, articulates a counterpoint of nested linear progressions between upper and lower voices. The third progression in the upper voice

appears to be generated from the new register which is achieved by the fundamental line in measure 5. The graph shows the series of 10ths which are formed between upper and lower voices (measures 10 to 14). As the 10ths break off, a diminished-seventh chord reintroduces the dominant chord of e minor with which the b section begins. In this way Schubert strongly implies the relative minor of G major without ever stating the tonic chord of e minor.

The *Grande Marche Funèbre* D.859 was composed in 1826 and forms one of a pair of marches which have a Russian association. Schubert wrote two marches, one to commemorate the death of Tsar Alexander I (D.859), the other to celebrate the coronation of Tsar Nicholas I (D.885). The second of these two, because of its extended structure, forms the subject of an entire chapter (Chapter 4).

The *Grande March Funèbre* D.859, like D.602.1 above, displays a structure in which the trio establishes the submediant as a contrasting key area: the march is in c minor, the trio in A flat major. But, in this case, both march and trio have lines which descend from 3. Figures 3.5 and 3.5a display the important components of this march.

The march begins with a statement of the structural 3 in a rather high register which proves to be the obligatory register. This introduces a different approach to registral activity from that which has been apparent so far. The result is a sharpening of the distinction between hierarchical levels: first- and second-level middleground activity occurs predominantly at least an octave below the obligatory register (cf. D.812 below, Chapter 7). At various points notes are heard which recall the obligatory register (measures 37 to 40 and 45 to 51). Although these are not structural notes in the strictest sense of their being members of the fundamental line they are, through their register, sufficient to provoke a reminiscence of the fundamental

line.

The marches which have already been discussed have demonstrated subtle interconnections between march and trio which reveal and consequently validate the interrelationship of the various grounds of the unfolding process. In this respect D.859 is no exception. Of the second-level middleground activity in the march, that which tonicizes VI (A flat major) is the most significant. There is no actual descent in this key at the second level of the middleground. There is an incomplete interruption form (3 - 2 || 3 - 2) at the third level of the middleground (measures 5 to 14). This last fact in turn intensifies the impetus which the prolonged 3 of A flat major has during the march. This 3 is subsequently taken up as the structural headnote for the following trio.

The local significance of the A-flat major key region in the march is also interesting. In the first, A section it connects the structural 3 with the second-level middleground 3 - 2 - 1 descent in g minor, the dominant minor (measures 15 to 20). Schubert emphasizes the appoggiatura effect of a flat - g (see measures 24 to 25 and 26 to 27 [not shown on the graph]). At its second appearance (measures 55 to 63) A flat major harmony reintroduces the structural 3 which has not been heard since the opening. The line closes seven measures later. A flat major, therefore, receives as much emphasis as c minor in D.859 but the registral displacement of these tonal regions establishes c minor as the hierarchically superior of the two.

The trio unfolds a fairly straightforward 3 - 2 - 1 descent in A flat major. Three factors require comment however: like its march partner, having established the structural 3, the large part of the movement which follows includes no statement of a structural tone of the fundamental line, and the 3 does not reappear until measure 35 where it appears as flat 3, immediately

before the closure of the line a measure later. Coherence is maintained through this prolongation by the bass line third progression (g - f - e flat) which culminates in the bass support for the cadential V $\frac{3}{4}$ which supports the structural 3 - 2 in the upper voice. This third progression recalls the descending third progression which leads the first part of the trio towards the second-level middleground tonicization of B major in measures 13 and 14 which is the second, apparently unusual, event worthy of comment in this trio. The B minor here is, of course, an enharmonically respelled version of C flat minor (i.e. flat iii in A flat major). The third point of interest here is the rôle of the inner voices. The headnote (3) first appears in the lower register (c²) but is subsequently regained an octave higher (c³). The rest of the line is heard at this higher register. The inner voices, by preserving the initial register throughout the movement, prevent any confusion as to the 'true' structural register. The eight-bar coda with which the trio closes affirms the natural 3 and, thereby, A flat major as the true mode. In addition, the V $\frac{3}{4}$ in c minor with which the coda ends prepares for the return of the march.

One final issue concerning D.859 that should be addressed is whether any relationship exists between this piece and the other march which Schubert produced at this time, the *Grande Marche Héroïque* D.885. At the foreground, the structure of these two marches is very different. Indeed, the extended, compound structure of D.885 and its consequent interpretation as a composition which both looks back to the shorter forms discussed in this chapter and forward to the larger, more complex sonata-form structures of Chapter 5 is the reason for considering it in a chapter of its own. And, although there are details of compositional practice such as major/minor contrasts and subtle connections of march and trio sections which lie

embedded beneath the surface, there appears to be no integrated connection between the *Grande Marche Funèbre* D.859 and the *Grande Marche Héroïque* D.885.

The last work which is considered in this chapter is the first of the *Deux Marches Caractéristiques* D.968b (olim D.886). This pair of marches immediately contrasts with the pieces which have been considered so far by their 6/8 time signature. The *Deux Marches Caractéristiques* were first published in December 1829 by Diabelli as Opus 121 (plate no. 3552)*.

These two marches are the only examples which explore a structure which contrasts the key relationship of major and relative minor between march and trio. As a result of this contrast the dichotomy of major and minor is of particular interest. Figures 3.6 and 3.6a show middleground graphs for the first of the *Deux Marches Caractéristiques*. As these graphs demonstrate there are two descent forms in this piece: the march unfolds a descent from 3, the trio a descent from 5. The result is that the headnote for each is the same. This procedure was encountered in the structure for the *Kindermarsch* D.928 and, in both cases, there is a consequent intensification of integration. In D.968b.1 the unification created by articulating two different descent forms in this way produces the added effect of heightening the contrast between major and minor.

Many of the pieces which have been considered so far have explored the counterbalance of major and minor so mere restatement of general issues concerning Schubert's technique flavoured by detailed references to D.968b.1 would be superfluous. There are, however, specific approaches in the first of the *Deux Marches Caractéristiques* which are important. Beyond the general observation of key relationship between march and trio the middleground graphs (figures 3.6 and 3.6a) reveal the concentration of interest in the trio.

Before discussing the trio, however, it is

necessary to indicate the important features of the march. The structural line unfolds a descent from 3 in C major. As the graph for this march shows all the statements of structural-line tones appear in the same register; Schubert does not, as in some of the other marches which have been examined already, create tension by subjecting structural-line elements to octave registral coupling either upwards or downwards. In spite of this Schubert does make good use of registral play in this piece however. In measure 15 the g, a tenth above the headnote appears. This new register is not heard again until measure 23 where the g resolves to f; the f in turn resolves to e natural at measure 73. The structural 3 follows in the original register in measure 89. By this strategy Schubert highlights the return to the headnote of the fundamental line. The higher register which connects the prolongation of the structural 3 in this march returns in the coda as emphasis of the closure of the fundamental line as achieved through restatement an octave higher.

From the outset of the trio there is tonal ambiguity between a minor and C major. The headnote (5 in a minor) does not appear until measure 4; and this after the combination of linear progressions and arpeggiation which exacerbate the sense of tonal ambiguity at the foreground. Similar procedures to those which introduced the structural 5 immediately steer the music towards a tonicization of the mediant (C major).

A sequence at the second level of the middleground which follows the C-major cadence in measure 16 (measures 17 to 27) tonicizes first the subdominant (d minor) and then the dominant (e minor). This last tonicization coincides with the regained 5 in a minor (measure 27), supported by the e-minor triad (i.e. the minor dominant) to complete the first task of the middleground of the structural line: the stepwise

progression of I through V which reflects the character of the $\hat{5} - \hat{1}$ descent in the upper voice.

The remaining tasks, the conversion of $\hat{4}$ from a dissonance to a consonance and the subsequent closure of the structural line, occupy the rest of the trio. The introduction of the structural $\hat{4}$ is heralded by the same procedures which introduced the initial statement of the structural $\hat{5}$ and the headnote of the second-level middleground descent in the mediant (C major). The structural $\hat{4}$ appears in measure 34; the line closes in measure 40. What the graph for this music does not show is the appearance of the notes of the structural line beneath the apparent upper voice at the foreground. Octave doubling and inversion of voices are both apparent throughout this trio and help to give a feeling of 'development' within the overall structure of the composition. With respect to the trio itself, registral features help to emphasize the ternary form as the upper voice in both sections A and A, appears an octave above that in section B. This phenomenon has already been observed in the trio of D.733.1 (see above, pages 51-52). Moreover, the less complex, more transparent texture of the march which flanks the trio provides D.968b.1 with a formal design in which the march represents an area of relative 'consonance'. In more detail, there are no transferred descents which tonicize harmonies other than the tonic throughout the march itself. Furthermore, the B section, which prolongs subdominant harmony, rather than providing a sharply contrasting tonal area, if anything, emphasizes the tonic key. Alternatively, the trio, with a background descent from $\hat{5}$ in a minor, which by definition contrasts more strongly with the tonic (difference is achieved by contrast of mode and key), has several other descents, in III, iv, V and VI, at various middleground levels.

To summarize, several compositional procedures have been observed in Schubert's marches for piano duet

which contribute to and function at the various levels of the unfolding process. Some of these procedures, such as density of texture and registral play, contribute to the characterization and intensification of the structural function of the compositional process; others, such as the articulation of major and minor counterbalance and the coexistence and interrelationship of different descent forms within the same overall structure, are form-generative. All of these compositional techniques are characteristically Schubertian: this is not to say that they do not occur in the works of other composers, but that they consistently recur in the fabric of Schubert's musical structures. It is not just the interest that these techniques generate in the study of Schubert's piano-duet output, although this is significant, but the issues which these procedures raise concerning tonal theory and, in particular, Schenkerian tonal theory that points to the importance of these pieces in the wider perspective.

Given the premise that tonal music is the manifestation of an organic process, the success or failure of a given approach to tonality through musical composition depends on the ability of such compositional techniques to generate larger, more extended musical structures. The chapters which follow are concerned with the investigation of such pieces from Schubert's piano-duet repertoire culminating in his approach to sonata-form structures.

Notes.

1. The manuscript for the *Kindermarsch* D.928 is the only surviving march manuscript. It is in the possession of the Gesellschaft der Musikfreunde, Wien, Ms. A 502.
2. Translation by O.E. Deutsch in *Schubert: a Documentary Biography* (London, Dent: 1947) pp.679 ff.
3. The first number of the decimal labelling of the graphs indicates the chapter in which a particular graph receives its main discussion. As there are no graphs in the supplement for Chapters 1 and 2, the numbering begins from 3. Musical examples within the text are through-numbered.
4. A fuller discussion of the properties of the various descent forms of the fundamental line is included below during the examination of the larger, more problematic forms (see Chapters 4 and 5).
- 5 Schubert achieves somewhat different results with the $\delta - \delta - \delta - \bar{I}$ descent form in the *Grande Marche Héroïque* D.885 (see below. Chapter 4).
- 6 The popularity of this march is underlined by the fact that Schubert's elder brother, Ferdinand, produced an orchestral version of it in 1836. The autograph is in the Schubertiana-Sammlung Taussig, Universitätsbibliothek Lund, Sweden Ms no. H.52.
7. See, *Free Composition* p.50 (§§140-144).

8. Schubert apparently composed this march earlier, in March 1816. It forms the first part of a Cantata with piano accompaniment entitled '*Die Schlacht*' (Schiller) D.387. Although the manuscript for the *Trois Marches Héroïques* is missing, the manuscript for '*Die Schlacht*' survives in the Wiener Stadtbibliothek MH 186/c. This manuscript is described by Ernst Hilmar in *Verzeichnis der Schubert-Handschriften in der Musiksammlung der Wiener Stadt- und Landesbibliothek* Catalogus Musicus VIII (Bärenreiter, Kassel: 1978) p.35.
9. The manuscript for these marches has been lost so a precise date for their composition is lacking. They are mentioned in a letter from Schober to Bauernfeld (June 1826) which is quoted in O.E. Deutsch: *Schubert: a Documentary Biography* (London, Dent: 1947) pp. 532-533.

Chapter 4 : The Grande Marche Héroïque D.885 (1826).
The transition between small forms and large forms.

The *Grande Marche Héroïque* D.885 demonstrates a much more complex, compound structure than the marches which were examined in Chapter 3. Superficially, it is in six sections which can be reduced to an unevenly divided three-part form':

A: Maestoso || Trio 1 ||

B: Allegro Giusto || Trio 2 || Allegro Giusto ||

C: Coda

The general tonal function of these three sections is:

1 - v-V ;	1 - [VI - iv] - 1 ;	Confirmation of 1
A	B	C

The rather strange tonal picture presented by the second trio (it appears to begin in F major and end in d minor !) weakens the tonicising effect of the repeat of the *Allegro Giusto*. The forty eight-bar Coda with which Schubert ends the piece adds weight to the return to the tonic (take particular note of the overblown perfect cadence, mm.260-266)².

Clearly, a simple style/formal analysis of this piece provides a very unsatisfactory explanation of Schubert's compositional approach. Indeed, one might either doubt the authenticity of this piece or even Schubert's claim to greatness.

As the documentary evidence surrounding D.885 conclusively affirms Schubert as its composer we are left with our second postulation. This is not a suggestion which should be taken lightly. The *Grande Marche Héroïque* has never been called Schubert's greatest work, but is it his worst ? To address these questions effectively it is necessary to look more

deeply into the structure.

The middleground graph of the *Maestoso* (the initial section) is shown in figure 4.1. This demonstrates an $\hat{8} - \hat{1}$ progression in the tonic key (a minor). Of the three possible descent forms, this is certainly the least stable; and it is for this reason that Carl Schachter considers it to be the most unsatisfactory:

"In *Free Composition* Schenker describes the lines from $\hat{8}$ as still more problematic than those from $\hat{5}$; there are now two unharmonized dissonances ($\hat{7}$ as well as $\hat{4}$) and a much longer unsupported stretch ($\hat{8} - \hat{3}$). In addition there are difficulties with octave lines that Schenker does not mention. In major, $\hat{7}$'s tendency to ascend to $\hat{8}$ produces a counterforce to the descending fundamental line that does not exist with lines from $\hat{3}$ or $\hat{5}$. And the unsupported stretch is so long that even the expanded basses of the first middleground level do little to modify its effect, as we can see from Schenker's Figure 18. Only the presence of more than one bass arpeggiation creates a somewhat more balanced outer-voice structure (Figures 19b and 20/4)."

As this piece is minor, Schachter's misgivings concerning the properties of major $\hat{7}$ are obviously not relevant here⁴. It is of significance then, to see on the one hand, how Schubert copes with these properties inherent in lines which descend from $\hat{8}$ and, on the other, how effective Schenkerian techniques are in clarifying those solutions which Schubert provides.

The headnote ($\hat{8}$) is achieved without fuss at the very opening of the march. To provide emphasis and thus establish the $\hat{8}$ as the true headnote it is projected through an octave registral coupling upwards

which is completed on the downbeat of measure 7. The line then descends to 5 during the next two measures*.

Achieving the 5 so quickly provides further clarification for the 8 - 1 descent without emphasizing the destabilizing properties of the 7 (and to a lesser extent the 6). The bass progression for this section of the upper voice articulates a 'filled-in' motion from 1 - V:

Ex. 14:

The image displays two systems of musical notation. Each system consists of a grand staff (treble and bass clefs) and a line of figured bass. The first system shows a melodic line in the treble clef with notes and fingerings (1-4-3-2-1) and a bass line with notes and fingerings (1-2-3-4-5-4-3-2-1). The second system shows a similar melodic line in the treble clef with notes and fingerings (1-2-3-4-5-4-3-2-1) and a bass line with notes and fingerings (1-2-3-4-5-4-3-2-1). The notation includes various musical symbols such as notes, rests, and bar lines.

With the 5 Schubert opens the way for prolongation. Two of his favoured techniques are in evidence here : mixture, and reinterpretation of a common note.

Immediately after the arrival of the 5, across measures 9 and 10, the upper line falls away to the third of the chord (c). Schubert immediately repeats this three-note descent, now with the e² flattened; and then again, an octave lower (measures 13 to 15) now with e natural'. It is in this way that a local modulation to the relative major (C major) is achieved to complete the first part of this A || B A, || formal structure.

The prolongation of the 5 which was initiated in

section A is continued for most of the first half of section B. This is maintained through a complete second-level middleground $\hat{5} - \hat{1}$ descent in the tonic major (A major).

An ascent to $\hat{5}$ is articulated through measure 20 over a root position V; the $\hat{5}$ itself does not appear until the next measure. The rest of this middle section is concerned with the closure of this version of the $\hat{8} - \hat{1}$ line. The $\hat{4}$ is passed over as quickly as the $\hat{7}$ (it forms the seventh of the dominant-seventh chord). The $\hat{3}$ extends from measure 23 to 26 where it is converted from a consonance to a dissonance to emphasize the 'consonant' entry of the $\hat{2}$ in measure 27. At this point there is a direct analogy with the treatment of the $\hat{7}$: in both cases the harmonic support for each of these notes is a diminished triad.

The $\hat{2}$ closes on the tonic in measure 31. This $\hat{1}$ represents the regaining of the $\hat{8}$ for the unfolding of a further $\hat{8} - \hat{1}$ line.

The $\hat{8} - \hat{1}$ descent which has been the preoccupation of the music so far has, of course, been a transference of the fundamental-line form to the first level of the middleground. Its true identity as secondary descent is confirmed by the closure of the line ($\hat{2} - \hat{1}$) in measures 27 to 31. The orthodox V - I progression which would normally accompany this motion is lacking. A background graph might well locate this V back in measure 20, but this would reveal an unsupported stretch from $\hat{5}$ to $\hat{1}$ (and thereby grand parallel fifths).

The treatment of the $\hat{8} - \hat{1}$ descent which unfolds across measures 31 to 48 (section A, is manifestly different from that which Schubert employed for the first two sections of the *Maestoso*. The entire body of the descent is concentrated in the last two measures. The first sixteen measures prolong the $\hat{8}$ by means of a complete $\hat{5} - \hat{1}$ descent in the tonic major (A major). This rather unbalanced structure is only possible

through the strength which has been cultivated in the δ as the initial note of the fundamental line through the first thirty measures of this movement.

The only significant query which remains is the #6. The logic behind this is clarified and explained through later transformations of the fundamental line; specifically through the second trio. For, although this line is the 'true' descent of the *Maestoso* it cannot be for the entire composition.

The trio which follows (figure 4.2) opens up a new tonal region: e minor. Like the *Maestoso* which precedes it the fundamental line begins on δ . Also, as in the previous section, much of the trio is concerned with a prolongation of this headnote. The method of prolongation, however, is very different.

The first thirteen measures may be subdivided into three sections. The first two (mm. 49 to 52 and 53 to 56) demonstrate two similar statements, each of which declares the δ , prolongs it through a descending fourth progression ($\delta - \gamma - \epsilon - \delta$), and then regains the δ through a descending third progression which approaches it from above (measures 51 to 52 and 55 to 56). The apparent parallel octaves at measures 52 and 56 are particularly interesting for they reveal a form-generative function. Figure 4.2a shows how the A-major chord at measure 53 is an interpolated chord which forms the first part of a sequence in the bass (natural VII (V - I); i (V - I)) at the local level. After removing this chord the function of the intermediary harmony as a dominant chord supporting a double neighbour note in the upper voice is revealed. This generates the third section which is formed by an expanded form of the same progression. The neighbouring γ (supported by a root-position VII harmony) represents a more dramatic movement away from the δ than at the opening of this trio. This neighbouring γ is itself strengthened through prolongation which cuts across superficial formal

boundaries (mm. 57 - 69). The emphasis given to this structural neighbouring note is underlined by an octave registral coupling upwards which occurs between measures 57 and 69; the coupling process is given further emphasis through an ascending linear progression in measures 63 to 69. The motivation and effect for this prolongation is to reaffirm the significance of the δ as the headnote at its return in measure 72.

The remainder of this trio recalls procedures already encountered in the *Maestoso* as an $\delta - \hat{5} - \hat{5} - \hat{1}$ descent form unfolds. The prolongation of the $\hat{5}$ through an octave registral coupling upwards and the subsequent prolongation of the upper b , mimics the treatment of the neighbouring $\hat{7}$ in the first part of the trio. The apparent parallel octaves at the return to the $\hat{5}$ (measures 78 to 79) are explained and dissolved in the graph labelled figure 4.2b. This supplementary graph shows that the prolongation of the $\hat{5}$ between measures 74 and 78 is achieved by a neighbour-note progression.

So as to prepare more definitely for the return to the tonic minor in the *Allegro Giusto* which follows, the structural $\hat{3}$ is major. By reserving the appearance of a strong major dominant until this point (it receives extra emphasis through a voice exchange in the two upper voices) Schubert avoids any undue preoccupation with the major dominant so early in the entire composition. Such an emphasis would reduce the need for further composing-out in the tonic : i.e. there would be a demand for resolution through closure rather than progression⁶.

The δ in the tonic key (a minor) is regained with the opening of the *Allegro Giusto*. In the actual music this is underlined by the octave doublings in the *Primo* part. This section initiates the second part of the overall formal design (see above).

The *Allegro Giusto* also unfolds a complete $\delta - \hat{1}$

descent of its own (see figure 4.3). In common with the *Maestoso* with which the piece begins, the emphasis is as much concerned with prolongation of the $\hat{8}$ as with the descent from $\hat{8}$ - $\hat{1}$. In this section, indeed, the balance tips in favour of prolongation'.

The harmonic support for this prolongation of the $\hat{8}$ (including the descent to $\hat{1}$) provides the particular interest in this section : Schubert unfolds a bass progression from 'VIII to I'.

The bass descends from $\hat{1}$ through VII to VI to close the first part of this section in F major at the double bar (m.100). This prefigures the illusory tonality at the opening of the second trio. There is a $\hat{5}$ - $\hat{1}$ descent in the upper voice (mm.96 to 97) which contributes to this tonicization.

The more developmental period which follows introduces sequential material (flat V to flat IV) in preparation for the return to the tonic (m.116). The connection between measures 110 and 112 appears rather disjunct. Measure 111, like the measures which connect measures 100 with 102 and measures 105 with 107, appears only to mark time. The disorientation which this technique creates allows Schubert to juxtapose a D-flat major chord with an a-minor chord (i.e. flat IV - $\hat{1}$). This is explained as an enharmonic reinterpretation of D flat major as C sharp major at this point (i.e. sharp III) which prefigures the modulation from a minor to A major at measure 118. The $\hat{1}$ (measure 122) provides harmonic support for the 'goal' of the contrapuntal motion which ultimately culminates in the arrival of the $\hat{6}$, at which point the $\hat{1}$ is converted to IV (measure 123). A cadential progression ($\hat{1}^* - IV - V\frac{1}{2} \frac{3}{4} - \hat{1}$) accompanies the remainder of the upper-voice descent ($\hat{5} - \hat{1}$).

Carl Schachter's comments on the problems of lines which descend from $\hat{8}$ include one which Schenker does not mention, namely:

"...In major, 7's tendency to ascend to 8 produces a counterforce to the descending fundamental line that does not exist with lines from 3 or 5. And the unsupported stretch is so long that even the expanded basses of the first middleground level do little to modify its effect..."

As we have seen, before descending to the 7 Schubert changes the mode from minor to major, thus creating the 'counterforce to the descending fundamental line' which Schachter mentions.

Schubert employs two techniques which I think do provide an effective counterforce to 7's tendency to ascend to 8. The first is contained within the structure of the bass progression: i.e. by establishing such a powerful impetus which simulates the 8 - 1 descent of the upper voice (we have already reached III by this point) an analogy between upper voice and bass is affirmed. The second, which alone would not have been sufficient, is the appearance of the 7 in an inner voice. The suggestion of movement of the upper voice into an inner voice is enough to dissolve any residual tendency for 7 to ascend.

Schubert's procedures here also violate Schachter's proposition that,

"...Only the presence of more than one bass arpeggiation creates a somewhat more balanced outer-voice structure (Figures 19b and 20/4)."

The Schenker examples to which Schachter refers show an 8 - 5 - 5 - 1 structural descent form. The *Allegro Giusto*, as we have seen, is more concerned with prolonging the 8 than unfolding a structural descent. Although the balance of outer-voice structure may be weakened at the local level, it may be argued that the

effect within the larger view of the entire composition is that an even greater coherence is achieved: principally through the descent in the bass which imitates the upper voice.

The Schenker examples indicate the structural norm. This Schubert example reveals the generative properties of individual notes of the fundamental line; the unusual solutions which are necessary to resolve unusual problems.

This does not weaken the Schenkerian case for δ but shows how, even under considerable pressure, the residual stability of this manifestation of the unfolding of the tonic triad is sufficient to counterbalance the structural instabilities which are equally intrinsic to its character.

A codetta, now back in the minor, echoes the last three elements of the fundamental line to recall the true minor quality of the tonic.

At first glance, by far the most unsatisfactory section of D.885 is the second trio (figure 4.4). It appears to begin in F major and end in d minor. Moreover, although it begins in F major there is no substantial composing out in this key.

The answer lies in the function of this trio within the composition as a whole. The closure of the fundamental line of the *Maestoso* included a $\#6$ which in the larger perspective requires clarification and resolution; this second trio satisfies these requirements.

This is a fine example of Schubert's predilection for major/minor counterplay. Indeed it is an expansion of this technique which demonstrates form-generative properties. A fuller discussion of the rôle of the major/minor dichotomy in this piece follows at the end of the analysis.

Having declared the upper-voice f^2 with tonic F major supporting harmony as the note for prolongation, Schubert leads up and away through g^2 to a^2 which he

interprets as a $\hat{5}$ headnote in d minor, and which represents the prolonged $\hat{6}$ of the entire composition. This immediately descends to $\hat{1}$ to close the first half of the trio*. The middle section of the trio which connects the d-minor cadence with the regaining of the f^2 in measure 152 articulates a #3 - 2 - $\hat{1}$ progression (D major) to counterpose major with minor. The remainder (mm. 152 to 159) essentially repeats the progression with which the trio opened.

In addition to clarifying the $\hat{6}$, therefore, the second trio provides the opportunity for exploration of the subdominant-minor key area whilst prolonging the structural $\hat{6}$. This provides a counterbalance to the minor dominant region which was unfolded in the first trio (mm. 49 to 83).

The *Allegro Giusto* is then repeated. The strength of the $\hat{6}$ through the prolongation in the second trio has by now been tested to the limit. And, now that the tonal structure has been defined it is necessary that Schubert provide the further dimension of motivic/thematic coherence*.

By repeating the *Allegro Giusto* at this point Schubert creates a formal unity for everything after the first trio. But it is necessary that the *Maestoso* and first trio be brought into the overall formal design not only to clarify the tonal function of the second trio but also to provide the overall structure with an $\hat{6}$ of sufficiently self-reliant identity.

To satisfy this final demand Schubert provides the Coda. In Schenkerian terms it is truly a coda for, other than reaffirmation of the tonic key, it offers nothing new in terms of tonal coherence. But it is an essential element of the overall composition: by drawing thematic material from both the *Maestoso* and the first trio it successfully qualifies the thematic rôle of these sections within the total structure. Albeit unsophisticated, this is more than mere restatement; there is also a degree of thematic

development. Figure 4.5 shows the content of the coda; fuller discussion of this section of D.885 can be found in chapter 6 below (pages 119 to 123).

The failure of the Schenkerian explanation of tonal structure to embrace the Coda within the formal design calls the validity of Schenker's method as a means of explaining the total structure of this piece into question, even though its ability to reveal deeper-level coherence and clarify apparently tonally diffuse areas of the piece, such as the second trio, does much to redress the balance.

Throughout the *Grande Marche Héroïque* Schubert makes much of what Eric Blom has described as his 'favourite device': the counterbalance of major and minor ¹⁰. This is apparent at the surface (the major/minor changes, mm. 35 to 44 and 118 to 129) and more subtly (the closure of the line (#6)), mm. 47 to 48, again at measures 81 to 83 (this time with #3) and the d minor/D major exchange (mm. 132 to 149) in the second trio. There are many other examples of lesser significance throughout the piece.

Blom refers to the "transparence" of Schubert's use of major/minor changes. Indeed he actually goes as far as to say,

"The trick of distributing light and shade in this way is not a subtle one: it verges on the commonplace in its obviousness."¹¹

Blom cannot have had this piece in mind when he made this statement: at least he could not have understood it in the terms defined for it by Schenkerian analytical techniques. Surely the inner coherence provided by those subtler manifestations of major/minor operations which I have explicitly mentioned (and those which I have not) reveal not, as Blom claims, Schubert's classical simplicity, but his 'modernism'. For Schubert, the major/minor counterbalance was not an

'obvious' device but a way of challenging and ultimately affirming the stability of the overall tonality.

At the beginning of this chapter we asked if this piece might be Schubert's worst composition. If the foregoing analysis has not specifically answered this question it has revealed that Schubert has tackled an unusual structure with an awareness of the issues. The success or failure of the march depends on the extent to which the solutions Schubert provides produce a coherent result. Coherence depends on the unfolding of an organic process where the problems which arise are resolved in the most appropriate way. There is an evident conflict between the form of the structural line and the external form created by thematic relationships, wherein the coda is an essential component. The outcome is that the *Grande Marche Héroïque* appears to fall between two stools: it neither successfully satisfies the demands of classical balance, nor does it confidently express the more exploratory techniques of Romanticism.

As an experiment it is highly suggestive. There are certainly other more successful pieces which indicate that Schubert might have learned from these efforts, such as the *Fantasy in f minor* D.940 and the *Allegro in a minor ("Lebensstürme")* D.947. These pieces, however, have the supporting characteristic of a more intrinsically coherent formal structure. However, as a coherent composition within the terms we have defined, this march fails to convince.

Notes.

1. A closer examination of the formal characteristics of the *Grande Marche Héroïque* is included in Chapter 6 below.
2. The Coda also has important form-generative properties. These are fully discussed later. (See pages 76-77 and Chapter 6, pages 119-123).
3. "A Commentary on Schenker's *Free Composition*", in: *Journal of Music Theory* 25(1981) pp.126-127.
4. See *Allegro Giusto* (pp. 72-75)
5. Reaching the $\hat{5}$ so early may raise doubts as to whether the line truly descends from $\hat{8}$ or $\hat{5}$. Indeed, in isolation it might be possible to construct a convincing argument for a $\hat{5} - \hat{1}$ descent for the *Maestoso*. However, it is more important to read the activity of this section within the perspective of the entire composition. I hope to show that within this perspective a descent from $\hat{8}$ is the more convincing of the two.
What becomes even more interesting through this interpretation is the deeper structural significance of the *Maestoso* which, although apparently motivically separate from the other sections which comprise the main body of D.885, establishes the basic tonality for the composition as a whole.

6. Closure at this point would leave many questions unanswered; principally that of the rôle of the #6 at the end of the *Maestoso*.
7. At the beginning of the composition the added requirement of establishing the δ as the true headnote generated the nested $\delta - \dot{1}$ descents. By this stage the δ is so firmly understood that prolongation is more easily achieved without the need for the corroboration of transferred forms. The passage from measures 102 to 114 is reminiscent of the procedure which is used in the 'development' section (mm. 260-268) of the *Allegro in a minor* ("*Lebensstürme*") D. 947.
8. Retrospectively then, the f^2 appears to be the initial note of an *Anstieg* to the $\dot{5}$ in d minor. But the F major harmony sounds clearly as a true F major not as a subordinate harmony within d minor !
9. Until this point, except within individual sections, there has been no systematic repetition of thematic material. The external formal framework as defined by thematic material is therefore in danger of falling apart. Indeed it is this external characteristic that makes considerable demands on the listener up to this point.
10. "Franz Schubert: His Favourite Device" *Music and Letters* 9 (1928) pp. 372-380.
11. Op. cit. p. 372.

Chapter 5 : Allegro in a minor, "Lebensstürme" D.947 and Rondo in A major D.951 (1828). Consolidation of compositional techniques: symbiosis of form and content.

An examination of the relationship between form and content in D.885 led to the conclusion that this work is experimental. Furthermore, the position that this piece assumes between the marches which were examined in Chapter two and the sonata-form movements which are discussed in this chapter reveals its transitional rôle in the evolutionary pattern from the smaller forms to the larger forms in Schubert's piano-duet music. The application of various compositional techniques created the need to extend and modify the formal characteristics of the march/trio structure. This posed a serious threat to tonal coherence in the *Grande Marche Héroïque*; a larger, more flexible musical form was necessary to control and thereby exploit the dramatic potential which lay within the compositional techniques which characterized Schubert's style. Sonata form offered the ideal formal medium for the next stage in this evolutionary pattern, and the *Allegro in a minor "Lebensstürme"* D.947 is a clear example of the controlling influence of the sonata-form structure on the voice-leading and other techniques which have been identified in the studies of the marches above.

Little is known about the circumstances surrounding the composition of Schubert's sonata-form movement in a minor, D.947. As the manuscript for this work is missing, it was ascribed to May 1828 from an *Abschrift* which survives in the Witteczek-Spaun collection (volume 55). It was not published until 1840 by A. Diabelli & Co. (PN 6704) with the title, *Lebensstürme, Charakteristisches Allegro* Op. 144.

Several commentators have speculated on the possibility that Schubert originally intended this

piece to form the first movement of a full-scale piano-duet sonata, of which the finale would have been the *Rondo in A major, D.951* (published by Artaria & Co. as Op.107)'. Further consideration will be given to these speculations at the end of this chapter.

The aim of the analytical section of this study is not only to provide a tour, à la Schenker, through Schubert's *Lebensstürme* and the *A-major Rondo*, but also to address issues of more general interest.

The importance of a study of a piece of considerable size by a major composer lies not in what it might say about localised points of interest within that piece (although that may not be insignificant) but in what it says about the appropriateness and efficiency of the analytical method, and what it reveals about the general compositional processes of the composer or genre under review. In the course of this study, as in that of D.885 above, several questions are raised about Schenkerian terminology and its relevance to Schubert's musical language.

Schubert's piano duet, *Lebensstürme*, is a sonata-allegro of 623 measures. It begins strongly with a descending arpeggiation of the a-minor triad supported by the bass motion $I - flat II^6 - V\frac{1}{2}$ in repeated chords, *forte*. This introductory section lasts for ten measures, and is followed by a single measure rest.

Although fairly simple in structure, these opening ten measures provide the basis for what is to follow¹. Indeed, this statement also contributes to the unfolding of the composition by its presence at strategic points:

1. mm. 1 - 10, introduction
2. mm. 36 - 42, leading to the transition
3. mm. 260 - 267, opening the development, in f minor
4. mm. 347 - 357, beginning the recapitulation

5. mm. 389 - 408, a minor and b minor, providing a 'new' transition between first and second subjects. In this version *Primo* and *Secondo* play the repeated chords out of alignment.
6. mm. 577 - 589, closure of the fundamental line on 1, and a restatement of the transition of the exposition. This last appearance contributes to the prolongation of the final 1 between measures 578 and 605.

Figure 5.1 displays the essential components of the introduction. The most obvious feature of the upper voice is its wide registral range. The line divides at measure 6: the first part articulates a descent from a^3 to e^2 whilst prolonging 1; the second an ascent from a^2 back to a^3 . This ascent is supported by a cadential preparation flat II* - V $\frac{6}{4}$ in the bass. The two parts are connected through a neighbouring b flat which, together with the bass-support d, at the level shown, forms the intermediary flat II* harmony which connects the tonic with the dominant. In this way the upper voice, unbalanced in duration, is balanced in pitch content. The change of function which accompanies the change of melodic direction from descending to ascending results in an economy of scale steps which Schenker identifies as a classical feature³. The articulation of scale steps which stand in the relationship flat II or flat VII to a tonic, local or general, will be seen to be a feature of *Lebensstürme* (cf. D.951 below, pp.93-97). This is especially the case where such a note provides the bass support for a 4.

The effect of this is to underline the wider harmonic freedom in lines which descend from 5 as compared with those from 3, and goes some way to explain the greater rarity of lines which descend from 8 (see D.885 above).

Certainly the variety of keys in *Lebensstürme* can be directly traced to the fact that the line descends from $\hat{5}$. During the examination of D.885 which, in spite of descending from $\hat{8}$, has a more restricted range of modulation than D.947, the conclusion that the more problematic nature of $\hat{8} - \hat{1}$ lines contradicts the apparent opportunities for more wide-ranging modulation was drawn. It is necessary in such lines to devote more energy to stabilise the fundamental structure to maintain coherence. Therefore, the ultimate inference is that the descent form with optimum modulation possibilities is that for lines from $\hat{5}$.

The initial $\hat{5}$ (e^3) is achieved in measure 12 (see figure 5.2). Although the e is not heard until measure 15, reached through the upper part of an arpeggiation, its influence begins in measure 12, aligned with the bass note.

The bass line exhibits a full arpeggiation of the tonic triad which, at the foreground, is filled in. The upper voice reaches under from e^3 to e^2 so that the lower e is achieved with the bass e (the fifth of the arpeggiation) to produce the foreground harmony, V. The function of all this is to open up the registral space for the unfolding of the composition. In the piano-duet medium, which provides fertile ground for multiple doublings, this procedure clarifies the 'true' range of the composition. The $\hat{5}$ (e^3) is regained in measure 24 (figure 5.3). This begins the second part

of the first-subject statement. At the middleground this shows an arpeggiation, e - c - a, in the upper voice over tonic harmony which is prolonged throughout this section.

At the foreground (figure 5.3) a more complex contrapuntal structure is revealed. In addition to the middleground arpeggiation there is a second, subsidiary arpeggiation of the dominant triad in the bass (measures 28 to 35). The function of this is to convert the minor dominant to a major dominant, a transformation highlighted by the placing of the third of the chord in the upper voice, and admitting the inclusion of this transformation into the tonic-triad arpeggiation. The graph clearly shows the adjustment of the g natural to g sharp. The second statement of the introduction theme follows the completion of this progression, which leads to the transition (figure 5.4).

There is an obvious visual difference between the graph for this section compared with those we have been considering so far. The most significant change lies in the number of discrete voices that are present. Density of texture highlights the contrast of sections with different functions in *Lebensstürme*. There is a thickening of texture during transitional or developmental music when there is an increase in the rate of chord change (figures 5.4, 5.9, 5.13, 5.17 and 5.18). There is a thinning down at moments when greater clarity is desirable for the articulation of alternative key areas in conjunction with important thematic material. During these latter situations secondary voices are created through purely contrapuntal means (e.g. arpeggiation and linear progression) rather than by the co-existence of independent secondary voices. This produces the effect of acceleration to goal tones⁴.

At first, a series of linear progressions articulates an unfolding in three voices; but these are

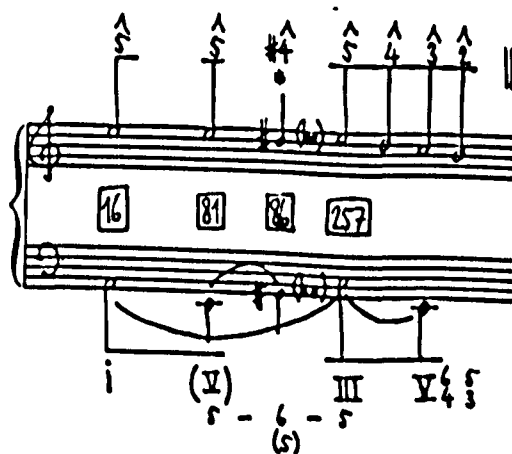
soon dropped. From measure 51 the process is accelerated through the omission of linear progressions, and four voices become visible. In that the transition here changes the harmonic support from tonic to dominant, its function is promoted from mere gap filling to something of more organic structural significance.

The $\hat{5}$ (supported by the dominant chord) is not a foreground event. It lies at the very heart of the structure. Schubert uses this harmonic transformation of the $\hat{5}$ as the gateway to the tonal world of the second subject⁵. The dominant-seventh chord is unfolded in the bass, where the g sharp is enharmonically altered to a flat, at which point the upper-voice e is chromatically lowered to e flat. This forms the initial $\hat{5}$ (supported by the tonic triad) of a full structural descent in A-flat major. This transferred and transposed form of the fundamental line comprises the first part of the second-subject group.

Although, at the foreground, the modulation, through an enharmonic alteration of g sharp to a flat, makes perfect sense it is necessary to explain the background justification of A-flat major as the tonal area for the second-subject material.

The answer lies in a $5 - 6 - 5$ progression in the bass which generates a neighbouring $\#4$ (d sharp) in upper voice. This d sharp is spelled as its enharmonic equivalent e flat, supported by the g sharp re-spelled as a flat. This initiates the beginning of the transferred form in A-flat major which is shown in figure 5.5. The true $\hat{5}$ is regained in measure 257:

Ex. 15:



During the A-flat major descent the $\hat{4}$ undergoes a prolongation in which its harmonic support is changed from II flat 3 to flat VII. The $\hat{3}$ is then taken over a tonic chord, but is suspended so that a cadential $\hat{4}$; progression closes the line.

A very similar procedure, but now in C major, provides the tonal space of the second part of the second-subject group (figure 5.6). The $\hat{4}$ is once again the most interesting feature of the line. At the foreground it is stated as a $\#4$ at first (measure 142) with a II support in the bass, and is altered to natural $\hat{4}$ with a flat VII harmonic support (measure 146).

At the middleground this prolongation of the $\hat{4}$ would be reduced to a minor-dominant arpeggiation in C major which acts as a dividing dominant between $\hat{5}$ and $\hat{3}$ (both supported by the tonic triad). The line is closed in the same way as in figure 5.5.

The closing group of the exposition shows the $\hat{5}$ now regained over a mediant triad. This completes an unordered triadic arpeggiation in the bass (g - c - e), and a prolongation of the upper-voice $\hat{5}$. The line descends as far as the $\hat{2}$ over a $V\frac{4}{2}$ support. Thus, the exposition unfolds the first part of the interruption form $\hat{5} - \hat{2} \parallel \hat{5} - \hat{1}$.

The first part of figure 5.7 shows the progression from measure 167 to the regained $\hat{5}$ in C major in measure 257. During these bars, a foreground transference of the fundamental line form $\hat{5} - \hat{2} \parallel \hat{5} - \hat{1}$ is incompletely articulated. On reaching the d ($\hat{2}$) for the second time Schubert reinterprets this as a lower neighbour note to the e (the structural $\hat{5}$). The remainder of this graph shows the completion of the first part of the interruption form from $\hat{5}$ in the structural line. Figure 5.8 shows the whole of the exposition.

The foreground transference of the fundamental-line form in *Lebensstürme* provides a reminiscence which

connects exposition to development, and development to recapitulation (see figure 5.11 and below). The separation of the two elements of the interruption form in this piece creates the need for the focus maintained through this kind of reference.

The development section has two structural descents; in B major and E major (figures 5.9 and 5.10). Despite the apparent absence of any main structural note, the middleground reveals that the function of the development here is to tonicize the dominant chord. This is stated as the support for the $\hat{2}$ at the end of the exposition. The dominant key of the development prepares for the return to the tonic. The process Schubert uses is first to articulate a descent on the key of the $\hat{2}$ (B major) and then to use this key as a tonicized dominant of the structural chord which supported that $\hat{2}$ (E major). In this way too, Schubert provides the form with a dominant-key region which balances the flanking tonic-oriented exposition and recapitulation.

Schubert's choice of more remote, subdominant-related keys has the effect of undermining monotonal stability. The emphasis which is placed on the dominant in the development section counteracts this tendency and maintains coherence across the division inherent to the interruption form.

The middleground graphs for the development (figures 5.9 and 5.10) show the $\hat{5}$ regained over dominant harmony. The function of the retransition (measures 331 to 348), aside from concealing a foreground transference of the entire $\hat{5} - \hat{2} \parallel \hat{5} - \hat{1}$ structural line, is to resolve the dominant harmony into a tonic harmony whilst prolonging the $\hat{5}$. In the absence of a clear statement of an element of the fundamental line itself it is necessary to supply alternative means for achieving tonal stability.

The recapitulation begins in the same way as the exposition (figure 5.12). The statement of the

introduction theme, which is not illustrated in the graph, serves the purpose of translating the a natural (measure 348) down an octave.

Figure 5.13 shows the 'new' transition which connects the second group with the first. Two elements are displayed in this bridge passage: the chromatic alteration of a natural (measure 390) supported by $\dot{1}$ to a flat (measure 406) supported by flat IV; and the linear progression which is inverted, prolonging the D-flat major harmony is established at measure 406*.

As an introduction to the second-subject group the d-flat seventh chord is unfolded downwards to the f which is then reinterpreted as the tonic in F major. A full structural descent from $\dot{5}$ to $\dot{1}$ is articulated in this key (figure 5.14). The main difference between this statement and the parallel statement in the exposition is the more orthodox, though for Schubert less usual, $\dot{3} - \dot{2} - \dot{1}$ (supported by I - V - I) cadential formula'. At the middleground the $\frac{6}{4} \frac{5}{3}$ formula is used in the second of the two descents contained by the second-subject (see figure 5.15).

The effect of the $\frac{6}{4} \frac{5}{3}$ cadential progression is to make the resolution to the tonic stronger and, in the case of a modulation, to make the modulation more distinct. As the requirement of the recapitulation is to return strongly to the tonic, a less affirmative cadential procedure in the second-subject group which contains keys other than the tonic is desirable.

Lebensstürme is particularly interesting in the way Schubert responds to the special features of the minor mode*. Attention has already been given to the extent to which the $\dot{5} - \dot{2} \parallel \dot{5} - \dot{1}$ interruption line, as it is used in this piece, extends and tests the security of the tonal structure. Moreover these extensions are magnified by the intrinsic properties of the minor mode. As a further and final attempt at counteracting these features which, if left unchecked, would undermine the tonal coherence of the entire composition

Schubert closes the fundamental structure through the tonic major to the final $\dot{1}$. Furthermore, so that no confusion might arise as to which is the correct mode, the final tonic is prolonged through a grand parallel linear progression (measures 578 to 605). This prolongation has its thematic roots in the transition of the exposition. Indeed, the thematic correlation between the recapitulation and the exposition also stabilises the form. In the graphs of figures 5.4 and 5.17 the goal of the motion is the dominant chord: in figure 5.4 the V provides harmonic support for the structural $\dot{5}$. This sonority, through the unfolding of the dominant-seventh chord in the bass, initiates the flat I (A-flat major) middleground descent; the $V\frac{7}{4}$ at the end of figure 5.17 immediately resolves into minor (i) at measure 605 (shown at the beginning of figure 5.18). In this way it provides a cadence which affirms the minor mode. The rest of figure 18 shows the coda.

The graph for the recapitulation as a whole (figure 5.19) places the final $\dot{1}$ in measure 578; after so much music in the tonic major (measures 458 to 576) it becomes necessary to reestablish the minor tonic as the true tonic. The prolongation of the final $\dot{1}$ (measures 578 to 605) shown in figure 5.17 demonstrates how this is achieved.

The two middlegrounds in alignment with the fundamental structure of the entire composition are shown in figures 5.20 and 5.21. According to this interpretation Schubert violates the orthodox Schenkerian view that,

"In the fundamental structure (figures 9 to 11), the fundamental line remains strictly diatonic. At the first level, however, it can contain a *mixture* of the major and minor third."

During discussion of the foreground graphs concerned with the recapitulation some explanation was given to

justify Schubert's procedure. However, further, more detailed explanation is needed to clarify those 'violations' of Schenker's rules of tonality when they occur at the very deepest levels of a composition. This is not to say that one must make Schubert's approach to tonality conform with that of Schenker. Rather, it is to address the issue of the appropriateness of Schenker's theoretical methodology to the music under consideration.

The interaction of the various grounds of the unfolding process provides the solutions to the issues raised by neighbouring levels. The middleground graph in figure 5.21 shows the fundamental line punctuated by statements of the $\hat{5}$ transposed down to e^2 . This identifies one of the specific properties of the piano-duet medium: the difficulty of deciding which is the true obligatory register. Thickness of texture is often created by multiple doublings, and this can create an artificial sense of the range in which the unfolding process is operating. In this interpretation of *Lebensstürme* the identification of the authentic register also appears to contribute to the levels of unfolding. Each of these transposed statements of the $\hat{5}$ executes a prolongational function: the prolongation of V from the exposition through the development where the dominant is tonicized; and the prolongation of $\hat{5}$, first supported by minor tonic and then by a major tonic. The rather 'vertical' character of figure 5.21 is justified by the need, identified by Carl Dahlhaus, to remember Schubert's links¹⁰.

The first of these prolongations is clearly understood; the second is of particular interest. Why does Schubert change the mode of the fundamental line? The result is an apparently uneven contrapuntal structure with a minor tonic support for both the $\hat{5}$ and the $\hat{1}$ but with an upper voice that is diatonic in A major.

Resolution of this issue may be sought at two

levels. The first is to find justification for the alteration of c natural to c sharp through the interaction of the grounds. In this way its relevance within the individual movement may be calculated. Alternatively and additionally a larger view, which assimilates the activities of both *Lebensstürme* and the *Rondo in A major* within an analytical study of these two pieces as components of a larger entity, may be taken. Ideally these two procedures should not contradict each other but present an interpretation which reveals an organic process from the local level to the general.

Before any large-scale observations of this sort can be made it is necessary to look closely at the structure of the *Rondo in A major* D.951 which is a sonata-rondo movement:

A	mm.	1 - 54	I -	V	Exposition
B	mm.	54 - 102	V -	(I)	
A ₁	mm.	102 - 137	I -	(<i>h</i> III)	Development
C	mm.	138 - 175	<i>h</i> III-II-III-IV-(V)		
A ₂	mm.	176 - 205		I	Recapitulation
B/C ₁ ; A ₃	mm.	206 - 292		I	
	mm.	292 - 311	I -	<i>h</i> VI - V - I	Coda

As the composition unfolds it becomes clear that the thematic unity, as in *Lebensstürme*, facilitates the inclusion of wider tonal expansion. Figure 5.22 shows a middleground graph for the exposition of the *Rondo*. This demonstrates the adumbration of a line which, like D.947, descends from $\hat{5}$. The $\hat{5}$ is approached through an *Anstieg* which is a foreground feature throughout this movement. A second, inner voice responds with a descending third progression which is itself elevated to the level of a motif (measures 8 to 9 and 10 to 11).

The upper voice regains the $\hat{5}$ at measure 5, once again through an *Anstieg*, this time an octave higher". A tonicizing bass motion (measures 9 to 10) introduces

a dominant harmonic support for the regained $\hat{5}$ in measure 10. This $\hat{5}$ descends to $\hat{1}$ by measure 24 for a full first-level middleground transferred fundamental-line form. As the graph for measures 10 to 24 shows, this descent is characterized by the contrapuntal interaction of the two upper voices with ascending and descending third progressions. A shift of inflection leads to a particular emphasis on the $\hat{3}$ (measure 16).

The structural $\hat{5}$ returns in measure 25. The prolongation of this $\hat{5}$ through the octave registral coupling upwards (measures 25 to 29) is identical with the process at the very beginning of the movement. This repeat heralds progression away from the tonic towards the dominant.

As before (measures 10 to 24) the preparation for the dominant is characterized by third (and in this case also fourth) progressions. These are given greater potency through the sequence (measures 41 to 53) which culminates in the arrival of the bass on V of V. This resolves onto I of V in measure 54.

A $\hat{5} - \hat{1}$ descent in the dominant major (E major) is unfolded across measures 56 to 68. Schubert makes further use of linear progressions to characterize this descent. Moreover, he does so in a way which generates unusual urgency within the progression. First the $\hat{5}$ is established (measures 56 to 57) and then prolonged by a complete first-level middleground transferred form (within a nested third progression which connects $\hat{5}$ with $\hat{4}$) across measures 57 to 62. The structural $\hat{4}$ is reached in measure 62 and is prolonged first by a fourth progression, then a third progression (measures 62 to 66). The last three elements of the line appear in quick succession (measures 67 to 68) supported by a cadential $\hat{4} \hat{3}$ bass progression. The use of nested linear progressions which get increasingly shorter (fifth-fourth-third) generates an acceleration towards the ultimate goal of the line.

The music which follows (measures 69 to 85) unfolds a $\hat{5} - 2 \parallel \hat{5} - \hat{1}$ interruption form in the dominant major, which is much closer to the foreground.

The remainder of this graph (measures 87 to 100) shows a prolongation of root-position dominant harmony as two upper voices contrapuntally unfold linear progressions. The two voices show descending fourth and fifth progressions (in the upper voice from a to b; in the lower from b to e) which are repeated an octave lower (measures 92 to 95 and 97 to 100). The fourth progressions in the upper voice have the additional characteristics of first proceeding to an unresolved neighbour (a natural), and then, in the second version, prolonging the final, goal note, b natural through the full neighbour-note progression, b - a - b (measures 99 to 100).

The development section is shown in figures 5.23a and 5.23b. As in each of the main sonata-form sections in this movement, the thematic material at the opening is the same as that which began the whole movement.

The structural function of this section is to prolong the $\hat{5}$. A first-level transferred middleground $\hat{5} - \hat{1}$ descent in the tonic is nested within two appearances of the $\hat{5}$. The prolongation of the $\hat{5}$ in this statement of A material is expanded further by the opening up of another register through octave registral coupling upwards (measures 130 to 131). As before, the middleground transferred-form descent and the prolongation of the structural $\hat{5}$ is characterized by third progressions which unfold sequentially.

The second part of the development, depicted in figure 5.23b, (the C section in the rondo structure $A - B - A_1 - C - A_2 - B/C_1 - A_3$) contains a series of descents which reveals an 'axis' motion which characterizes the development section as a whole as an area of greater tonal instability. The overall structure may be expressed in the following way:

A, (102-137)	-	C (138-175)	-	A, (176-205)
A		C - B flat - c sharp - d		A
I	-	hIII- II	-	III - IV- (V) - I

As the A, section moves into section C Schubert strongly prepares for a C-major descent; but this is converted from major to minor with the arrival of a flat in the upper voice (measure 148). This is supported by an f in the bass which allows Schubert to break off at this point and treat the music from measures 138 to 149 as a preparation for a dominant-seventh chord to tonicize the B-flat major which follows. An interruption-form descent is initiated but this only proceeds as far as $\hat{5} - \hat{2} \parallel \hat{5} - \hat{4}$ (measures 151 to 158).

At this point (measure 159) Schubert introduces a connecting A-flat major chord. This chord, the submediant chord in c minor, is used as the dominant of c sharp minor. The next five measures sees a complete interruption-form descent from $\hat{5}$ in c sharp minor. After the closure of the c-sharp minor descent in measure 165, the c sharp in the bass resolves to d to provide the bass support for a $\hat{5}$ in d minor. A complete $\hat{5} - \hat{1}$ descent in this key unfolds without incident to complete the main body of the development (measures 166 to 169).

The function of the recapitulation is to close the line and resolve problems which have emerged during the exposition and development. A registral transfer upwards of two octaves opens the recapitulation (figure 5.24). This achieves a register, an octave above the obligatory register which has so far been unexplored. The effect of unfolding a transferred form of a complete line is to emphasize the authentic register when the $\hat{5}$ is regained in that register in measure 286. As we shall see other factors contribute to this emphasis (see below).

The transferred $\hat{5} - \hat{1}$ descent begins with a prolongation of the $\hat{5}$ which connects the A and B thematic material (measures 180 to 211). This prolongation is characterized by arpeggiations which occur at the middleground.

A formal pattern emerges in the bass: first an e - f sharp - e neighbour-note progression with octave displacement; and secondly, a V - I progression which culminates in the return of the $\hat{5}$.

At the first level of the middleground the line descends to $\hat{3}$; but nested within the prolongation of the $\hat{3}$ which follows, the second-level middleground resolves all the way to $\hat{1}$ (measures 212 to 213). An ascending third progression reintroduces the $\hat{3}$ (now an octave lower, and supported by V instead of I) at measure 218; a $\hat{3} - \hat{2} - \hat{1}$ at the second-level middleground echoes that which characterized the previous appearance of the $\hat{3}$.

The $\hat{3}$ is prolonged at this register for most of what remains of the recapitulation. The music which connects the $\hat{3}$ in measure 218 with its reappearance in measure 269 can be subdivided into two parts: the first is generated by a series of third progressions which introduce a restatement of the complete $\hat{5} - \hat{1}$ transferred form at the second-level middleground; the second, concerned with resolving dominant harmony into tonic for the return of the $\hat{3}$, generates an unusual harmonic progression. Repeated chords in triplet semiquavers in *Primo* emphasize the primarily harmonic function of this section; although the A theme is heard in the right hand of the *Secondo*.

The progression throughout these measures is generated by a V - VI - VI - V neighbour-note bass progression which, through a complex sequence transposes the regained natural VI - V up an octave:

[I] : (V - \flat VI \flat VI - V)
 [bII] : ([I] : V - vi;[vi]: V - I;[I]: V - I - V)
 [\flat vII] : ([I] : I V - I;[IV]:IV-I;[I]:V - III)

As the chart above shows, the activity, on three levels, is built up from applied-dominant progressions on chromatically altered versions of both leading notes (ascending [natural vii] and descending [flat II])¹².

The bass e (V) is transposed back down an octave immediately following this progression (measure 261) before resolving to the I which supports the regained 3. The 3 is then subjected to octave registral play before this first-level middleground version of the fundamental-line descent is finally closed in measure 284.

The structural 5 appears in the obligatory register in measure 286. It is introduced by an ascending arpeggiation in the upper voice. This is harmonized as a progression from V of V to V. A similar procedure is employed for the structural 4 (this time harmonized by V of IV to V). An anticipation of the 3 emphasizes its occurrence in measure 291. The last three elements of the line (with the 2 subjected to substitution) are supported by Schubert's favoured $V\frac{5}{4} - I$ bass progression.

The eighteen-bar coda with which the piece closes prolongs tonic harmony as it recalls the main thematic material. The apparent octaves shown on the graph (measures 302 to 304) are dissolved at the foreground as the upper voice fills the gap between e' and a³ with a scale in sextuplet sixteenths. The graph also shows the actual register in bass and upper voice in measure 309 to demonstrate how Schubert closes the work at the extremes of the piano. In the music itself this feature is emphasized further by the trill in the right hand of the *Primo* part.

A comparison of D.947 and D.951 reveals a common interest in the treatment of the structural $\hat{4}$ and its various chromatic manifestations (particularly $\# \hat{4}$) at different hierarchic levels. The most fruitful level of unfolding in this respect is the first-level middleground. At this level it is normally enhanced by enharmonic alteration.

A specific parallel between these two movements occurs in D.947 at the first statement of the second-subject material (measures 81 to 116), and in D.951 during the development section (theme C) between measures 157 and 163. In D.947 the process of developing the $\# \hat{4}$ through enharmonic reinterpretation generates the juxtaposition of tonal regions a semitone apart: A major and A flat major. In D.951 the juxtaposition of B flat major and c sharp minor is achieved through the enharmonic reinterpretation of a connecting A-flat major chord (measure 159) as e flat is respelled as d sharp.

A second parallel may be drawn between these two movements through Schubert's predilection for chromatically lowered versions of both the ascending and descending leading notes (II and VII).

In D.947 flat II is a component in the bass progression which supports the introduction theme; thereafter it is a common feature throughout the movement. The most significant form-generative use of flat VII is in the development, where the tonal regions of f minor and B major are juxtaposed.

Ex.16:

In D.951 a particularly potent level-generative example of the use of these leading notes occurs in the recapitulation between measures 240 and 254 (theme B). The details of this progression are discussed on pages 95-97 above and shown in figure 5.24.

What appears to be lacking in D.951 is any clear unfolding procedure which imitates and resolves the mixture of the fundamental line at the end of D.947. It may be adduced, however, that the overall function of D.951 is to affirm the conversion of a minor to A major. For this to be acceptable it is necessary to provide a clinching argument for the interdependence of *Lebensstürme* and the *A-major Rondo* in spite of their individual characteristics and the absence of any correlative thematic or 'motivic' features in the Schenkerian sense.

I believe that the two parallels which have been identified in the compositional processes of these two movements provide such an argument. Their relationship in D.947 and D.951 goes far beyond mere compositional style. The result, a piece which begins in minor and ends in major, may well be unusual but it is not unstable.

Such an overall structure is a logical extension of the techniques which generated the interplay of major and minor observed in each of these two movements in addition to the *Grande Marche Héroïque* D.885.

Notes.

1. M.J.E. Brown: *Schubert. A Critical Biography* (London, 1958) pp.286-287; John Reed: *Schubert. The Final Years* (London, 1972) pp.225-227, and Brigitte Massin: *Franz Schubert* (Paris, 1977) pp.1240-1241.
2. Once again one recalls the *Grande Marche Héroïque* in which the *Maestoso*, apparently distinct thematically, adumbrated problems which were resolved later in sections with different thematic material. In this case (D.947) the more self-contained formal structure of the sonata-allegro, by definition, reduces the risk of instability which is created by this procedure. In D.885, the reader will recall that the coherence of the thematic-formal structure was stretched to the limit.
3. *Free Composition*, introduction p.xxiv.
4. An analogy may be drawn between this procedure and that of interleaving recitative and aria to express relative stasis and motion in an opera.
5. In this context the words 'harmonic transformation' carry much greater weight than they might ordinarily. Within the range of the key regions of the second subject in *Lebensstürme* this transformation is a crucial component.
6. The apparent octaves at the end of figure 5.13 are not true parallels. Their origin lies entirely in the contrapuntal motion; they are not harmonically derived.

7. See *Free Composition* figure 5.16. In general Schubert favours the cadential $\frac{6}{4}$.
8. As D.885 has already shown, the opposition of major and minor can be a form-generative feature.
9. *Free Composition* §102, pp.40-41.
10. In his article entitled, 'Sonata Form in Schubert: The First Movement of the G-major String Quartet, op. 161 (D887)' (originally published in German in *Musica* 32 [1978], pp. 125-130) Dahlhaus makes the point that "In Schubert, unlike in Beethoven, the most lasting impression is made by remembrance, which turns from later events back to earlier ones, and not by goal consciousness, which presses from earlier to later." (*Schubert. Critical and Analytical Studies* ed. Walter Frisch. Nebraska: 1986, p.8). The translation is by Thilo Reinhard.
11. It has already been established that this is a feature in Schubert's piano duets which contributes to the definition of the obligatory register.
12. Because of the similarity of application of these notes by Schubert I have adopted Schenker's description of the supertonic as the 'descending leading note'.

Chapter 6 : Form in the Piano Duets of Franz Schubert

6.1 General Observations on Form

The discussion so far has focused on the tonal aspects of the voice leading of a representative sample of Schubert's piano duets. More specifically, it has been concerned with the identification of particular techniques, characteristic of Schubert's style, which show an evolutionary development from the smaller musical forms (represented by the marches) to the larger, sonata-form structures (D.947 and D.951). Any consideration of formal features has so far been restricted. The function of this chapter, therefore, is to show how the interaction of the structural levels of the unfolding process generates the various formal patterns which operate in these pieces, and to identify an evolution in Schubert's approach to form in this repertory. The reader may feel that it would have been more appropriate to present this investigation of formal characteristics within the main body of the analysis. However, by devoting a separate chapter to this aspect the significance of the relationship between voice leading and its tendency to expand the range of formal structures, through the requirements imposed upon it by the rules of counterpoint and prolongation, is emphasized.

Before examining the formal properties of individual pieces taken from the repertory it would be useful to give a brief summary of Schenker's own observations on the rôle of form in the unfolding process. In *Free Composition*, Schenker devotes the final chapter, Chapter 5, to an essay on form. He divides this chapter into two parts: general observations on form, followed by a comparatively detailed discussion of the characteristics of specific musical forms'.

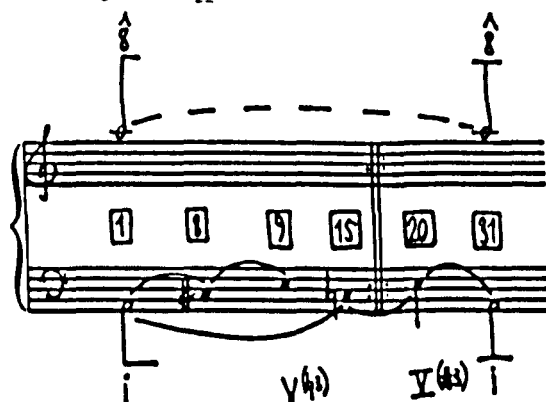
The general section provides useful guidelines for

the accurate identification of formal divisions,
beginnings and endings:

"The fundamental structure and the first level know no repeat sign. Therefore, a repeat sign in the foreground must not lead us to misjudge the form. Such repetitions may consist not only of first sections based on the division $3 - 2 :||$ or $5 - 2 :||$ but also of sections which express only $3 :||$ or $5 :||$."

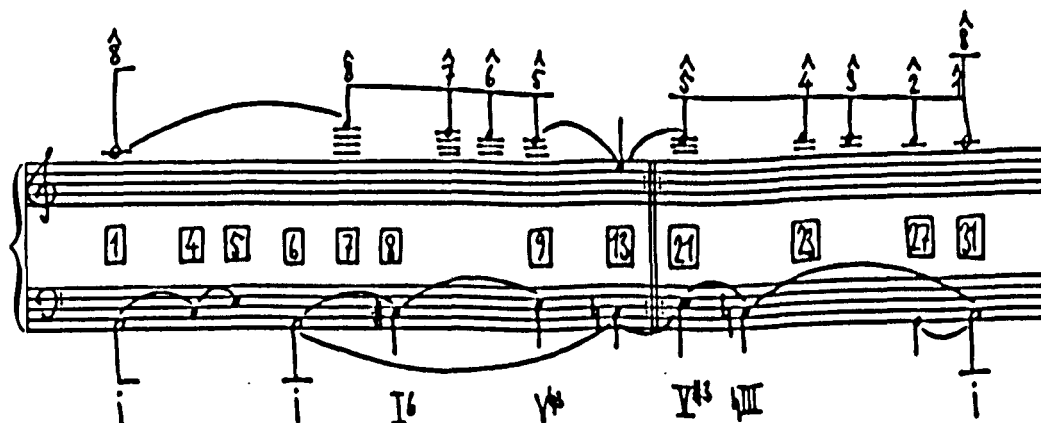
The initial section of the *Grande Marche Héroïque* D.885 shows how the interaction of background and first-level middleground makes use of the repeat sign in both of the ways Schenker mentions. At the background, the first section represents only $\delta : ||$:

Ex. 17:



At the first level of the middleground the initial section expresses the division $\delta - \hat{\delta} : ||^2$:

Ex.18 :



The next warning Schenker gives concerns deceptive beginnings:

"Many pieces show deceptive beginnings which lead to a false conception of their form; in such cases only the middleground and background can give a true picture."

The truth of this is borne out in the analysis of the second trio of the *Grande Marche Héroïque*.

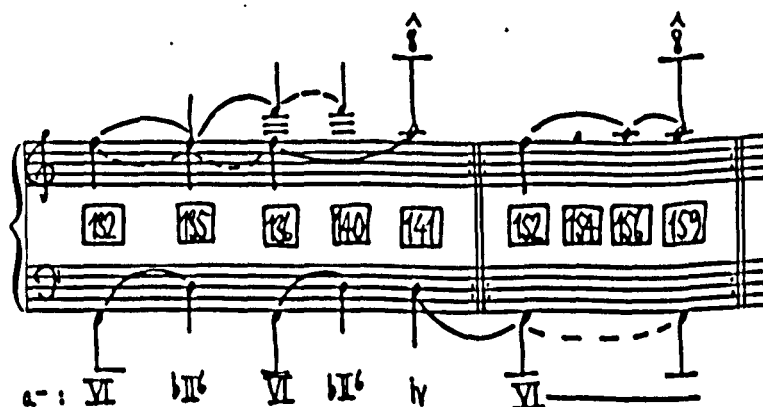
The second trio of D.885 creates the illusion of unfolding a structure in d minor. The background and middleground graphs reveal its primarily prolongational function within and its consequent dependence on the overall structure of D.885.

At the foreground and first-level middleground this trio suggests a three-part form:

A	B	A ₁
132 - 141 :	142 - 151	152 - 159 :
(10)	(10)	(8)

The background, which reveals its prolongational function displays, by definition, an undivided structure which may be considered as bipartite delimited by the two appearances of the δ :

Ex.19:



The tonal function of this trio within the overall structure of the *Grande Marche Héroïque* has been discussed in detail above (see Chapter 4). A thorough examination of the formal design of D.885 will follow below.

Regarding closure Schenker writes:

"The middleground and background also determine the definitive close of a composition. With the arrival of $\hat{1}$ the work is at an end. Whatever follows this can only be a reinforcement of the close --a coda-- no matter what its extent or purpose may be."⁴

The coda of the *Grande Marche Héroïque* provides a very clear example of this phenomenon. The rôle of this coda as a section which not only reinforces the tonic but which also unifies the thematic content of the whole of D.885 is explained in Chapter 4 above.

Finally, Schenker makes the point that:

"All forms appear in the ultimate foreground; but all of them have their origin in, and derive from, the background."⁵

The significance of this statement will become clearer during the examination of individual compositions from Schubert's piano-duet repertoire.

6.2 Undivided Form

The first of the specific forms which Schenker details is the undivided form. This is generated by the undivided progression of the fundamental line. With the exception of the *Kindermarsch* D.928 each of the marches examined in Chapter 3, considered in isolation, demonstrates an undivided form at the background; but the problems which long periods of prolongation create

generate divided forms at the first-level middleground.

The first of the *Trois Marches Héroïques* (D.602.1) shows an example of an undivided form where the structural headnote (♩) is prolonged for most of the piece (about 91%). The remainder of the line (♩ - ♩) is contained within the last three measures. An investigation of the phrase structure of D.602.1 reveals an interesting relationship between foreground and background, however, which proves informative about the formal design of this march. Fundamentally, it comprises four eight-measure phrases. The first begins after a two-measure, fanfare introduction and shows a statement of ♩ followed by an octave registral coupling upwards. This also equates with the initial A section at the foreground. The middle, B section is formed of two eight-measure phrases: the first shows the ♩ regained after the first-level middleground descent (♩ - ♩ - ♩) which closed section A (measures 9 and 10); the second demonstrates a prolongation of the ♩ whilst a hidden repetition of motive x recalls section A. This creates the illusion of a two-part form.

The last measure of the second phrase of section B (measure 26) also serves as the first of the final phrase of the march. A further, hidden repetition of motive x characterizes the middleground for this section in a way which balances this with section A to add further support to the A :||: B A, foreground shape of D. 602.1.

The harmonic support for this march provides yet another formal picture. Just as the greater number of elements of the upper-voice progression appear in the last eight measures, the focus for the bass is concentrated at the beginning (measures 3 to 26); the ♩ is prolonged whilst the bass unfolds the arpeggiation I - III - V. In this way, the end of the bass arpeggiation signals the beginning of descent in the upper voice:

Ex.20:

-107-

MARCH

1 - 2 | 3 - 10 || 11 - 18 | 19 - 26 | 26 - 33 ||

INTRO | A || B | A₁ ||

x x₁ x₂
 5 5 5 4 3 2 i ||
 i III V i ||

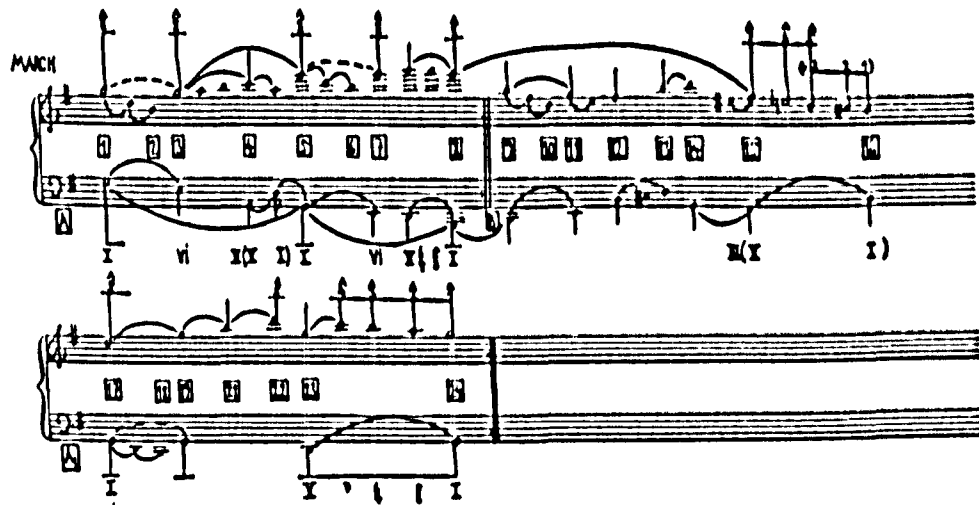
6.3 Two-Part Song form

Two-part song form emerges most naturally from an interrupted form of the fundamental line: either $\hat{3} - \hat{2} || \hat{3} - \hat{1}$, $\hat{5} - \hat{2} || \hat{5} - \hat{1}$ or $\hat{8} - \hat{5} || \hat{5} - \hat{1}$.

The little march which Schubert composed for Faust Pachler, the *Kindermarsch* D.928, unfolds the interrupted form $8 - 5 || 5 - 1$. At the foreground, however, this piece creates the illusion of a three-part structure defined by three regular eight-measure phrases. The harmonic progression in the bass clarifies the two-part character:

1 - 8	: : 9 - 16	17 - 24	:
A	: : B	A ₁	:
8	7 - 6 - 5	5 - 4 - 3 - 2 - 1	
I	III(V - I)	I V 2 1	

Ex.21:



The bass must not be interpreted as a three-part form:

A	: :	B	A,	:
I		III	I	

even though the III is tonicized at the first level of the middleground and the repeat sign separates the first tonic region and this tonicization. This middleground reading derives from the background; it is in the background, therefore, that the true meaning is apparent.

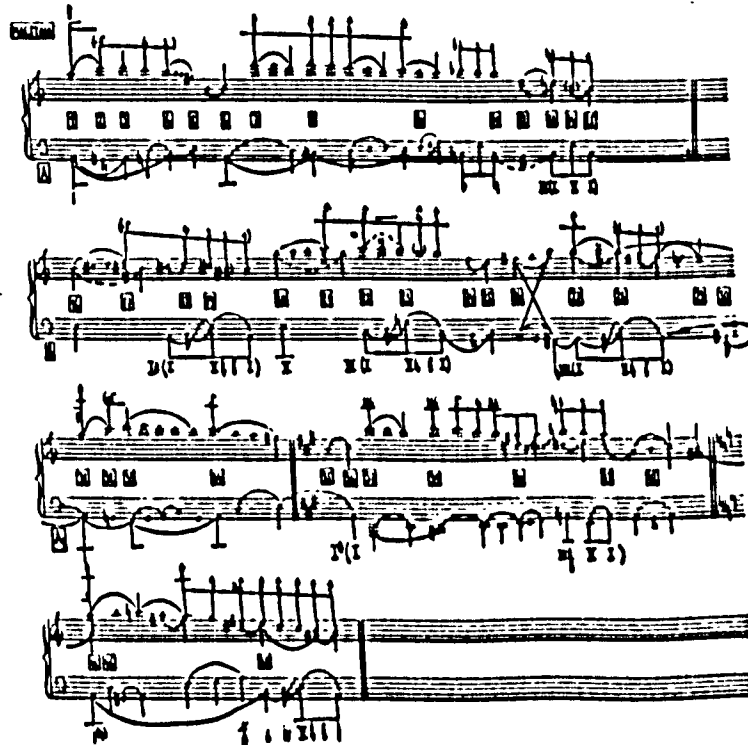
Two-part form as a component of a larger, more complex structure is shown in the *Maestoso* of D.885. As a whole, this section of the *Grande Marche Héroïque* unfolds an undivided form of an $\delta - \dot{i}$ fundamental line; but the enormous prolongation of the δ (measures 1 to 47) and the concentration of the whole of the substance of the descent into the final two measures, in the absence of middleground clarification, produces an unbalanced structure.

At the first level of the middleground, Schubert unfolds a complete $\delta - \dot{5} \parallel \dot{5} - \dot{i}$ interrupted form which, if read as a complete descent nested within the background $\delta - \dot{i}$ descent, produces a larger, two-part form:

Bg. 8 8
Mg.1 8 7 6 5 5 4 3 2 1
Mg.2 3 2 1 ; 5 4 3 2 1
Bass 1 III(I V I) I() V 1
Fg. A :|| B A,
Mm. 1 8 15 16 19 31

Bg. 8 8 7 #6 5 4 3 2 1
Mg.1 1
Mg.2 5 4 3 2 1
Bass 1 I()
Fg. A,
Mm. 31 41 45 47 - 48 ---

Ex.22:



The first trio, which follows the *Maestoso*, in D.885 also demonstrates an 8 - 5 || 5 - 1 structural descent; but the process operates differently. The descent is not only fundamental (i.e. it inhabits the background) it also generates a more balanced design than in the *Maestoso*.

The first two parts of the foreground structure, A :||: B, are concerned with prolongation of the headnote (♭) via a neighbouring ♯. The main content of the descent is contained in section A₁; but, by prolonging the ♭ across measures 73 to 80 in a way which is reminiscent of the prolongation of the ♭ between measures 56 and 72 (using octave registral coupling upwards and neighbouring notes), Schubert achieves an interesting contrast of formal designs which connect the various levels of the unfolding process:

Mm. 49 - 61	: : 62 - 71	172 - 73 ; 73 - 80; 80 - 83
Fg. A	: : B	A ₁
Bg. ♭	N♯	♭-♯-♭-♭ ♭ 5-4-♯3-2-1
1	V VII	1

6.4 Three-Part Song Form

In *Free Composition* Schenker gives seven examples under two main headings of voice-leading procedures which yield a three-part song form:

- "(a) Occasionally the bass arpeggiation I-V-I alone suffices...even when an undivided fundamental line is repeated...
 - (b) Division plays the most important role in three-part form also, even though at the first level it brings binary characteristics to the fore, as a consequence of 3 - 2 || 3 - 2 - 1 or 5 - 2 || 5 - 1 [or 6 - 5 || 5 - 1].
1. A simple expansion of V^{**}...
 2. A thoroughgoing amplification of $\frac{2}{V}$ even more effectively produces a three-part form...
 3. The process of "securing" a seventh whose purpose is to cancel the leading tone to the dominant can give rise to a three-part form...
 4. A retransition necessary because of an unusual beginning, such as...II - V - I...

5. Mixture...

6. A neighboring note can also give rise to a three-part form... The outward appearance is of no consequence: the individual parts may be connected with one another; they may be set off by :||, as often occurs in longer works, or the middle section may be given the special designation "Trio"."

It is not the intention to trace examples of each of these techniques in Schubert's piano-duet repertory but merely to establish a range of possible three-part models as a point of reference.

The generation of three-part forms at later levels of the unfolding process has already been observed during the investigation of structures which have a two-part structure at the background. The march section of the *Kindermarsch* D.928, which is a two-part structure at the background by virtue of the $\hat{8} - \hat{5} - \hat{5} - \hat{1}$ descent form of the fundamental line, demonstrates a three-part design at the foreground defined by the three regular eight-measure phrase lengths which are supported by a I - III - I bass arpeggiation.

By establishing III as an alternative key area during what constitutes section B at the foreground Schubert provides a further model for three-part form. At the background, where III functions as the third divider in the bass to coincide with the first part of the descent in the upper voice ($\hat{8} - \hat{5}$), the two-part character of the march is reinforced (see above).

Considered together with its trio partner the *Kindermarsch* is a clear example of three-part form:

MARCH:	$\hat{8}$: :	$\hat{7}$	$\hat{6}$	$\hat{5} - \hat{5}$	$\hat{4}$	$\hat{3}$	$\hat{2}$	$\hat{1}$:
[A]	I	III	(V	I)	- I	V	-	-	I	:
	A		B			A,				

TRIO : 5 :||: (3 2 1) 5 - 4 3 2 1 :||
 [B] IV(I III#(I V I) I V - - - I) :||
 A B A,

MARCH: *Da Capo*

As the table shows, the internal structure of the trio, in the subdominant, is reminiscent of its march partner: both sections prolong the same pitch as the headnote, and both include tonicizations of the mediant triad relative to the local tonic.

The two marches which Schubert composed in 1826, the *Grande Marche Funèbre* D.859 and the *Grande Marche Héroïque* D.885, stand apart from the main body of his piano-duet marches for a number of reasons, but most signally for their more complex form.

Schubert's approach, both in terms of internal design and overall shape, is distinctive in each of these pieces. At first glance, the *Grande Marche Funèbre* D.859 displays the march/trio/march pattern of those marches which Schubert composed for the countesses Esterhazy; on closer scrutiny, the interaction of background and middleground reveals a far greater interdependence between march and trio than in the *Trois Marches Héroïque* D.602, *Trois Marches Militaires* D.733 or the *Six Grandes Marches* D.819.

The reader will recall from Chapter 3 that both march and trio descend from 3. The internal formal structure of each section is:

MARCH: [c minor]

Bg. 3
Mg. 2 (3 3 3) (3 2 1)
Mg. 3 (3 2 || 3 3 2 ||)
Bass 1 VI (I) V (1 V₄ $\frac{5}{3}$ 1)
Fg. A : ||
Mm. 1 5 7 9 13 14 15 19 20

Bg. 3 2 1
Mg. 2 (3 (4zug) 3 (5zug) 3)
Mg. 3
Bass VI (I) 1 V₄ $\frac{5}{3}$ 1
Fg. B A₁ : ||
Mm. 29 51 55 58 63 64 69 70

TRIO:

Bg. 3 3 (3 2 1)
Mg. 2
Bass I V₆ 11 (V₄ $\frac{5}{3}$ 1)
Fg. A : ||:
Mm. 3 7 12 13 14

Bg. 3 2 1
Mg.
Bass VII VI V₄ $\frac{5}{3}$ I
Fg. B A₁ : ||
Mm. 15 23 35 36

MARCH: *Da Capo*

Several general observations are clear from these form tables:

- 1) At the background both march and trio unfold an undivided $\hat{3} - \hat{2} - \hat{1}$ fundamental line in the local tonality.
- 2) Both march and trio demonstrate a two-part form at the second level of the middleground: in the march the secondary tonality is the minor dominant (c minor); in the trio the secondary tonality appears to be the raised-supertonic minor (b minor). This last is, in truth, an enharmonic respelling of c flat minor (i.e. flat 111).
- 3) The B section, in both cases, does not include any structural elements of the fundamental line at either the background or the middleground. The effect of this is to produce a two-part structure which aligns with the repeat marks, but counterpoints with the thematic material at the foreground.
- 4) The density of middleground activity is greater in the march than in the trio.

This last point relates to a feature of deeper significance for the form of the *Grande Marche Funèbre*. Two areas of the march (measures 5 to 14 and 55 to 63) give strong emphasis to VI harmony; the key of the trio. Moreover, at the second- and third-level middleground the influence of this harmony is strengthened by, at the second level, a prolongation of a transferred form of the structural $\hat{3}$ and, at the third level, an almost complete $\hat{3} - \hat{2} \parallel \hat{3} - \hat{1}$ interruption form (measures 5 to 14). The preoccupation with submediant harmony in the march so definitely presages the $\hat{3} - \hat{1}$ descent in that key in the trio that a high level of interdependence between these two sections in D.859 is achieved.

A middleground graph which shows the degree of connectivity between the two components (march and

trio) of the *Grande Marche Funèbre* provides further clarification:

Ex. 23:

MARCH

TRIO

cmi: i VI(I I Y) V(i Y) i iv(iv i) i VI(I V I) i V i

VI(I (A) (Y) i) III(V I) V V i

A more developed integration of march and trio sections is observable in the second of the 1826 marches, the *Grande Marche Héroïque*.

At the beginning of Chapter 4 some cursory comments were made about the form of this march. Instead of a simple ABA structure, defined by the alternation march/trio/march, D.885 has a broader, compound structure:

Section A:

Maestoso || *Trio 1* ||

i	v	V
a		b

Section B:

Allegro Giusto || *Trio 2* || *Allegro Giusto* ||

i	[VI - iv]	i
c	d	c

Section A₁:

Coda

(confirmation of i)

ab,

But, as this table shows and in spite of the Schenkerian implications, the overall pattern is still a three-part structure.

Examination of the thematic material clarifies the ABA₁ three-part form. The sense in which the A₁ section lies outside the fundamental structure (the structural descent has already been completed at the end of the repeat of the *Allegro Giusto*) is explained above in Chapter 4 where the function of the voice-leading procedures in D.885 is explored in detail*. A more developed survey of the formal characteristics of the *Grande Marche Héroïque* follows in which the form of each individual section is analysed not only in its own terms but also in terms of its contribution to the overall structure.

The initial section, A, which comprises the *Maestoso* and its trio has the formal organization:

MAESTOSO : [a minor]

Bg. 8 8
Mg. 1 8 7 6 5 5 4 3 2 1
Mg. 2 3 2 1 ; 5 4 3 2 1
Bass 1 III (I V I) I () V 1
Fg. A :|| B A,
Mm. 1 8 15 16 19 31

Bg. 8 8 7 #6 5 4 3 2 1
Mg. 1 1
Mg. 2 5 4 3 2 1
Bass 1 I ()
Fg. A, ||
Mm. 31 41 45 47 - 48

TRIO 1 : [e minor]

Bg. 8 8
Mg. 1 N7 N7
Mg. 2 3 2 1
Bass 1 V (I V I) (sequence)
Fg. A :||: B A,
Mm. 49 57 58 61 69 72

Bg. 8 7 6 5 || 5 4 #3 2 1
Mg. 1
Mg. 2 (N6)
Bass III I V I V I
Fg. A, :||
Mm. 72 73 76 80

If Schubert had repeated the *Maestoso* at this point he would have produced a rounded three-part form. The purpose of the trio (in the dominant minor) is to convert the minor dominant to a major dominant. This major dominant is resolved in the following movement, the *Allegro Giusto*.

A further factor should be noted at this point. Rather uncharacteristically, Schubert has given considerable emphasis to the dominant key early in the *Grande Marche Héroïque*; this raises the expectation either for more distant key regions or a balancing subdominant key area³. The B section for the entire piece, as we shall observe, is reserved for this purpose. The formal organization for section B is as follows:

ALLEGRO GIUSTO: [a minor]

Bg.	♭								♭	7	♭	♭	♭	4	#3	2	1
Mg.	2			5	4	3	2	1									
Bass	1	VII	VI						V	IV		III	(11)*			V ₄	♯ I
Fg.	A							:	B			A ₁					
Mm.	84			96	-	97			103	108		116	119	123	124		

* This 11, which occurs in measure 122, is converted to IV with the arrival of the structural ♭ in measure 123.

TRIO 2: [F major/d minor] (Background and bass are labelled in the overall tonality of a minor.)

Bg.	8			8
Mg. 1	5	4	3	2 1
Mg. 2			#3	2 1
Bass	iv		IV (IV V I)	iv (I IV V ² ; I)
Fg.	A	: : B	A,	:
Mm.	141	- -	150	152 156 159

ALLEGRO GIUSTO: *Da Capo*

Trio 2's emphasis on subdominant harmony, together with the lack of a coherent fundamental structure, reveals a high level of dependence on the other sections which comprise the *Grande Marche Héroïque*. At the level of the key region this trio balances that which followed the *Maestoso*: the subdominant harmony provides an effective counterweight to the early emphasis on the dominant harmony of the first trio.

The third and final part of the *Grande Marche Héroïque*, in Schenkerian terms, lies outside the fundamental structure. The line has already closed by the end of the repeat of the *Allegro Giusto*; it is, therefore, a coda. By virtue of its use of thematic material from the A section (*Maestoso* and *Trio 1*), however, it forms the third part of an ABA, form (see above, Chapter 4).

Within the overall structure of D.885 the coda has the function of confirming a minor as the central tonality. Therefore, given its formal structural significance, the means by which it achieves this are of fundamental importance.

Schubert's manipulation of the thematic material from section A in this coda is particularly interesting. Where material is taken from the *Maestoso*

it is labelled A, where it is drawn from *Trio I* it is labelled B.

A middleground graph shows the function of the voice-leading operations (see figure 4.5). In contrast with the other voice-leading graphs in this study, barlines have been included to indicate areas which are defined by different thematic ideas; these are indicated underneath. The coda draws on thematic material which was first presented in the first two sections of D.885: the *Maestoso* and *Trio I*. This thematic cross-reference contributes in its own way to the formal organization of the piece as a whole:

A : *Maestoso* || *Trio I*

B : *Allegro Giusto* || *Trio II* || *Allegro Giusto*

A₁: Coda

The result is a three-part structure which aligns with the three-part form shown on page 95, above. The following table shows the arrangement of the thematic content together with the harmonic function of each subsection:

[*Allegro Giusto* : 1]

Mm.	208 - 211 (4):	B ₁	[iv - VI ⁶ - VI(V ⁷ - I) VII(V - I)]
	212 - 215 (4):	A ₁	[III (C major)]
	216 - 219 (4):	B ₂	[i - III(V - I) VII(V - I)]
	220 - 223 (4):	A ₂	[v (e minor)]
	224 - 227 (4):	B _{3(x)}	[IV]
	228 - 231 (4):	B _{3(x1)}	[VI]
	232 - 235 (4):	A ₃	[i]
	236 - 241 (6):	B ₄	[i]
	242 - 245 (4):	A ₄	[i]
	246 - 251 (6):	B ₅	[i]
	252 - 259 (8):	A ₅	[VI]
	260 - 263 (4):	B ₆	[V]
	264 - 266 (3):	(A ₆) cadence	[i]

In general, the A sections each contain their own transferred $\hat{5} - \hat{1}$ descent forms:

A ₁ (212 - 215)	:	III
A ₂ (220 - 223)	:	V
A ₃ (232 - 235)	:	i
A ₄ (242 - 245)	:	i
A ₅ (252 - 259)	:	-
A ₆ (264 - 266)	:	-

The result of this is that the coda, together with the rest of D.885, produces a bass arpeggiation which reflects the bass of the *Maestoso*:

Mm.	1 - 207;	208 - 215;	216 - 223;	224 - 245;	246 - 266
	i	- III	- V	- i	- i

as compared with:

Mg. 1	ô	-	7	-	ô	-	(5)	-	5	-	4	-	3	-	2	-	1
Mm.	1				15	20	23			-	27	31					
Bass	1				III	V				-							I

Even the combined structure of the *Maestoso* and *Trio I* recalls this harmonic formula:

Ex. 24:

The statements of B material provide modulatory links between the various appearances of A. Descent is one of the characteristics of the B theme however. These descents form one voice of a two-voiced texture. The top part essentially articulates a falling major second (in the first statement, measures 208 to 211, this is d to c); the lower part unfolds a rising third (a - b - c) in the first statement:

Ex. 25

CODA:

This idea is subsequently repeated in transposed form in measures 216 to 219.

The two statements of B, labelled B₂(x) and B₂(x₁), form a sequence which rises a third: iv - VI. This constitutes the first part of an arpeggiation which culminates on the tonic with A₂ (measures 232 to 235). The arpeggiation iv - VI - I provides a balance to the arpeggiation I - III - V - I which has already been noted; a subdominant arpeggiation which opens the lower fifth in response to the upper, dominant fifth. B₄ belongs with A₂ as it ratifies the resolution on the tonic (a minor). The remainder of the coda supplies yet further confirmation.

At a glance it might seem surprising that a little-known and apparently trivial composition like the *Grande Marche Héroïque* should be given so much space in a dissertation on Schubert's piano duets. The two fairly substantial areas of analytical discussion, Chapter 4 and pages 115 to 124 in this chapter have, I hope, made clear the reasons for this.

Often, and not surprisingly, it is the lesser-known works of a great master that reveal the pathways of his intellectual development between one masterwork and another. This is the status of the *Grande Marche Héroïque*. To repeat observations, of the order of preliminary conclusions, which were made at the end of Chapter 4, D.885 raises difficult questions about the relationship between internal tonal structure and the foreground manifestation of that structure as characterized by thematic material. Although not always successfully, Schubert tackled these issues imaginatively. Exploration of the larger, sonata-form pieces has indicated that he learned much from this earlier experimental work. Instead of being restricted by the intrinsic organic identity of the tonal system, Schubert developed a technique which channelled that same system into new, more extended forms. Schubert's closeness to the classical tradition meant that he

understood the nature of tonality well enough to ensure that his extensions of it strengthened, rather than weakened, its effectiveness. The result is not a totally new musical language, but one in which the similarities with 'orthodox' tonality underline its occasional unorthodoxy.

6.5 Sonata Form

The architectural properties of sonata form reveal the conflict between the foreground manifestation of form, as defined by thematic components, and the generation of formal models, produced by the interaction of the various grounds of the unfolding process, more forcefully than in the formal structures which have been considered so far.

Two of Schenker's publications are informative about his theoretical approach to sonata form: *The Organic Structure of Sonata Form* and *Free Composition* (Chapter 5, pp. 133 to 141). The second of these sources begins with general observation in which Schenker defines sonata form as a structure which is based on the interruption principle:

"Only the prolongation of a division (interruption) gives rise to sonata form. Herein lies the difference between sonata form and song form: the latter can also result from a mixture or a neighbouring note."¹⁰

Elsewhere he criticizes the traditional view of the theory of sonata form, and provides a more reflective explanation of its organic structure:

"Of course it has been observed that the tendency toward a three-part division with a modulation and a contrasting key in the first part is characteristic of sonata form. But the true significance of this has not yet been grasped. The concept of sonata form as it has been taught up to now lacks precisely the essential characteristic - that of organic structure.""

Having established the basic premise that it is vital not to lose sight of the essential organic structure of sonata form, and to avoid the tendency to over-interpret the significance of the thematic components, Schenker enumerates the fundamental voice-leading properties of its main sections. With the statement that "only the prolongation of a division (interruption) gives rise to sonata form" he indicates the path which the first part, the exposition, will take.

To comply with the constraints of the first part of sonata form, in a composition which descends from $\hat{5}$, the exposition can do one of two things:

- 1) descend as far as $\hat{3}$, supported by the mediant triad, or
- 2) descend as far as $\hat{2}$, supported by the dominant triad to complete the first part of the interruption form ($\hat{5} - \hat{2}$).

Specifically, in minor, if the exposition unfolds $\hat{5} - \hat{4} - \hat{3}$, this upper-voice motion constitutes a third progression which goes to the key of $\hat{3}$ (III). This, in turn, determines the route which the development will take until it reaches the $\hat{2}$ (over V^{*2}). However, if the first part proceeds as far as the $\hat{2}$ (supported by $V^{\#2}$), the need to go on to the development is intensified.

In the *Allegro in a minor*, "Lebensstürme" D.947 (see Chapter 5 above) Schubert unfolds the whole of the first part of the interruption form (5 - 2); the harmonic support for the 2, at measure 258, is V⁺. Consequently the object of the development which follows is to realize the key of the dominant; this is achieved between measures 329 and 331. The 5, which is regained in measure 331 relates back to the 5 in measure 59; this appeared in the same register (an octave below the obligatory register) and was also supported by major dominant harmony.

The middleground activity in D.947 also contributes significantly to formal coherence. In all of the three main sonata-form sections the character of the secondary key areas at the middleground produce a high degree of connectivity:

EXPOSITION: [mm. 1 to 259]

Bg.	5	5													
Mg.2			(5	4	3	2	1)	(5	4	3	2	1)			
Bass	I	V	I	(I	VII	I	V	I)	III	(I	VII	I	V	I)	
Mm.	12	59	86	92	103	115	116		136	144	152	163	164		

Bg.	5	4	3	2
Mg.2				
Bass	III	IV	V ⁺ ₄	⁵ / ₃
Mm.	257	-	258	-

DEVELOPMENT: [mm. 260 to 358]

Bg.									5
Mg. 1						(5	4	3	2 1)
Mg. 2	(5	4	3	2	1)				
Bass	II(I		V $\frac{5}{4}$	$\frac{5}{4}$	I) V(I		V $\frac{5}{4}$	$\frac{5}{4}$	I)
Mm.	286	298	299	-	300	329	-	330	- 331

RECAPITULATION: [mm. 359 to 578]

Bg.	5										
Mg. 2		(5	4	3	2	1)	(5	4	3	2	1)
Bass	I	VI(I	VII	I	V	I) I(I	VII	I	V	I)	
Mm.	359	438	440	448	451	452	458	464	472	483	484

Bg.	5	4	3	2	1	
Mg. 2						
Bass	I	IV	V $\frac{5}{4}$	$\frac{5}{4}$	1	
Mm.	570	575	576	-	578	

Ex 26:

The image shows a handwritten musical score for 'Ex 26'. It consists of two systems of staves. The top system has a grand staff (treble and bass clefs) with a melody line and a figured bass line. The bottom system also has a grand staff with a melody line and a figured bass line. The notation includes notes, rests, and various figured bass symbols (e.g., 5, 4, 3, 2, 1, I, IV, V, etc.). There are also some handwritten annotations and markings above the staves, such as '5', '4', '3', '2', '1', and '||'.

The graph above also shows how register contributes to the unity of form in *Lebensstürme* to produce a separation of the material which generates the internal tension in D.947 from the over-arching prolongation of the tonic triad:

5	5	4	#3	2	i
1	1	IV	V $\frac{4}{4}$	3	1
12	359	575	576	-	578
Form: A	A ₁				

The uppermost register is given further emphasis as a unifying force by the second-level middleground descent (measures 458 to 484) in the tonic major which presages the ultimate closure of the fundamental line. Such a use of register intensifies the relationship between the exposition and the recapitulation in a far more forceful way than would thematic identity alone.

A similar phenomenon is also observable in the first movement of the *Sonata in C major "Grand Duo"* D.812. The headnote (5) with which the piece begins appears an octave below that at which the true structural line appears. The lower register is occupied by what is, essentially, middleground-level activity. Unlike D.947, the whole of the interruption form of the fundamental line appears in the higher register:

5	4	3	2		5	4	-	4	3	-	3	2	i
I	IV	I	V		I	IV	bVII ^o	I	V $\frac{4}{4}$	3	1		
25	-	28	104	200	-			226	299	368	-	369	
Form: A						A ₁							

The effect of Schubert's use of register in D.812, in spite of his using methods similar to those he employed in D.947, produces rather different results. He creates the sense of an introduction at the beginning of both the exposition and the recapitulation. This sets up an interesting conflict

between the foreground and background perception of form in this piece:

Fg.	5	-	-	2	(5 - 1)
Bg.			5	- 2	(5 - 1)
Bass	I - III		I - V		(III)
Form:	Introduction; Exposition [codetta]; Development;				
Mm.	1 - 24		25 - 106	107 - 115	116 - 173

Fg.	5	-	5	-	5 1
Bg.			5	-	1
Bass	I - III		I - III - 1 1		
Form:	Introduction; Recapitulation [coda]				
Mm.	174 - 199		200 - 369		370 - 379

The tonal function of the development, according to Schenker's description, is either to complete the motion to $\hat{2}$ over V^{*3} or to expand that point in some way. This goal is the most important feature of the development even beyond the significance of hidden 'motivic' relationships; although the use of such 'motivic' relationships is entirely permissible¹².

The *Rondo in A major* D.951, a sonata-rondo form movement, also makes large-scale connections by means of register¹³. As this piece uses elements of both sonata and rondo, each of the three main sonata-form sections, exposition, development and recapitulation, begins with a statement of the headnote (in this case $\hat{5}$) in the same register; the register at which it appeared at the beginning of the piece.

In the exposition and recapitulation, after stating the $\hat{5}$, the music immediately reaches up to the octave above. At the beginning of the recapitulation the line reaches two octaves upwards instead of one (measure 180). The line descends as far as the $\hat{3}$ in this higher register before regaining this structural pitch in the 'true' register an octave lower. The higher register

of the recapitulation is first heard in the exposition (measure 131) just before the B (measure 29) and subsequently in the development (measure 131) just before the C section (i.e. the central section) of the rondo formation. Schubert achieves a close connection between exposition and development, and development and recapitulation in this way. Furthermore, this manipulation of register helps to integrate the sonata and rondo aspects in D.951. The result can be schematized as follows:

Register 1 (e ²):	5		5			
Register 2 (e ³):		5				
Register 3 (e ⁴):				5		
Rondo	:	A			B	
Sonata	:	Exposition				
Mm.	:	1	5	25	29	56 - 100

Register 1 (e ²):	5					
Register 2 (e ³):		5		5		
Register 3 (e ⁴):					5	
Rondo	:	A			C	
Sonata	:	Development				
Mm.	:	103	107	127	131	138 - 175

Register 1 (e ²):	5					
Register 2 (e ³):					3	
Register 3 (e ⁴):		5		5	4	3
Rondo	:	A		B/C ₁		
Sonata	:	Recapitulation				
Mm.	:	176	180	207	211	- 212 218

Register 1 (e^2):				3																
Register 2 (e^3):	3		3			3		2	1;	6		4		3	2	1				
Register 3 (e^4):																				
Rondo	:	A,																		
Sonata	:																			
Mm.	:	269		273		276		281		284		286	288	291	292					

The form tables, although accurate in themselves, may create confusion if read without reference to the voice-leading graphs. The registral tables only indicate the occurrence of structural pitches; they do not show whether they appear at the background or the first level of the middleground. For example, they appear to suggest that there are two complete $\hat{5}$ - $\hat{1}$ fundamental-line descents in the tonic: the first extends from measure 1 to measure 284; the second is confined only to the last six measures of the composition proper (measures 286 to 292). In truth, and as the middleground graphs clearly show, the structural $\hat{5}$ is prolonged at the background from measure 1 to measure 286 from which point it descends to the $\hat{1}$ in measure 292. First-level middleground transferred descent forms provide the means of this prolongation. Fuller discussion of the form-generative function of this middleground activity and of the formal characteristics of D.951 in general will follow below during discussion on rondo form in particular. The contribution of the fundamental line and middleground transferred forms to the sonata-form architecture in the *A-major Rondo* can be summarized as follows:

EXPOSITION: [mm. 1 to 100]

Bg. 5 5
Mg. 2 (5 4 3 - 2 1)
Mg. 3
Bass I I (V IV I V $\frac{5}{4}$ $\frac{5}{3}$ I)
Mm. 1 10 12 16 23 - 24 25
Rondo A

Bg. 5
Mg. 2 (5 4 3 2 1)
Mg. 3 (5 4 3 2 1)
Bass V (II (I V $\frac{5}{4}$ $\frac{5}{3}$ I) IV $\frac{5}{4}$ V $\frac{5}{4}$ $\frac{5}{3}$ I)
Mm. 25 56 57 60 61 - 62 - 67 - 68
Rondo B

Bg.
Mg. 2
Mg. 3 (5 4 3 2 II 5 4 3 2 1)
Bass V (I II I V II I II I V I)
Mm. 69 71 73 - 74 76 78 - 85
Rondo [codetta]

DEVELOPMENT: [mm. 102 to 175]

Bg. 5 5 5 5
Mg. 2 (5 - 4 3 - 2 1)
Bass I (I V IV I V $\frac{5}{4}$ $\frac{5}{3}$ I)
Mm. 103 107 108 112 114 118 125 - 126 127 131
Rondo A₁

Bg.

Mg. 2 (5 4 ; 5 4 3 2 || 5 4)

Bass II (V -7 I II I V || I II)

Mm. 138 147 149 152 153 156 - 157 158

Rondo C

Bg.

Mg. 2 (5 4 3 2 || 5 4 3 2 1) (5 4 3 2 1)

Bass #111 (1 (N) 1 V || 1 II* V₄ 3 1) Iv (1 II I V 1)

Mm. 160 162 163 - 164 - 165 166 167 168 - 169

Rondo [C]

RECAPITULATION: [mm. 176 to 292]

Bg. 5

Mg. 1 5 4 3 3

Mg. 2 (3 2 1) (3 2 1)

Bass I

Mm. 176 180 207 211 212 - 213 218 - 219

Rondo A₂ B/C₁

Bg.

Mg. 1

Mg. 2 (5 4 3 2 1)

Bass I (I (N) I V I)

Mm. 225 228 229 236 237

Rondo [B/C₁]

Bg.					5	4	3	2	1
Mg.1	3	3	-	(2)	1				
Bass	I	-	V ₄	3	I	V	IV	V ₄	3
Mm.	269	281	283	284	-	286	288	291	- 292
Rondo	A ₂								

The background of the *Rondo in A major* contains within its boundaries all the registral activity which constitutes the middleground; there is a complete 5 - 1 transferred form of the fundamental line at the first level of the middleground which is confined to the recapitulation, which also contains a second-level middleground transferred form. The concentration of structural-line material during this section of the sonata-form framework emphasizes its function as an area of resolution.

Substance in the development section is confined to the second level of the middleground where there are several abortive attempts at transferred forms of the fundamental line in secondary key areas. The music finally stabilizes (measures 166 to 169) with a complete 5 - 1 descent in the subdominant.

The exposition, fulfilling its traditional function as the section in which the tonic key, together with the headnote (in this case 5), is stated and established, contains second- and third-level transferred forms. Unusually, for a movement which may be considered as having a sonata-form architecture, the affirmation of the home tonic is achieved merely through the prolongation of the structural 5; it does not unfold the first part of an interruption (i.e. 5 - 2). The requirement for this procedure is waived, in this case, because of the thematic activity which gives D.951 its rondo structure.

6.6 Rondo Form

Schenker defines rondo form as a structure which results from the combination of two three-part song forms; the last part of the first three-part form becomes the first part of the second three-part form:

A | B | A, | C | A,

The character of each of the sections, A, B, and C. Schenker defines in the following way:¹⁴

"A,: If A₁ is to return several times (not only remaining in motion but also having the ability to counterbalance sections of strong contrast), it must in itself not be overburdened with inner tension--whether at a slow or fast tempo. Apart from this consideration, any type of composing-out is possible; two- or three-part song form lends itself most suitably. The very nature of three-part song forms on which rondo is based...causes the A, and A₁ to appear always in the main tonality.

B,: Since the contrasting sections B₁, B₂, C, and D are basically middle sections of three-part song forms, they are to be composed in the ways set forth in §310 [i.e. the section devoted to three-part song form]...

C : Frequently this part also begins independently after a complete close of A₂. It makes no difference whether it is based upon III or upon IV..."

It has already been observed, during the examination of the sonata-form character of D.951, that the exposition (rondo: A/B) did not unfold the first part of the interruption form (5 - 2) as is customary. This is explained by Schenker's first statement concerning A sections in rondo form: viz. that they "should not be overburdened with inner tension.". The A section in D.951, at its appearance in the exposition (measures 1 to 24), seems to have a two-part form: the prolongation of 5̂ alone (measures 1 to 9); the introduction of second-level middleground activity through a transferred 5̂ - 1̂ descent in the tonic (measures 10 to 24). In the development (as A₁) it appears as a three-

part structure: the prolongation of $\hat{5}$ at the background (measures 103 to 108); the second-level middleground transferred form in the tonic (measures 108 to 126); a return to the prolonged background $\hat{5}$ (measures 127 to 131). The manifestation of A material in the recapitulation is more complex as the result of the need not only to begin with A material, as in the previous two sonata-form sections, but also to end with A material in order to satisfy the requirements of rondo-form construction.

The B section is distinguished by a complete $\hat{5} - \hat{1}$ descent in the dominant which in turn generates its own transferred forms at levels which are closer to the foreground; most notably, there is a complete $\hat{5} - \hat{2} \parallel \hat{5} - \hat{1}$ interrupted form which follows on the heels of the closure on $\hat{1}$ (measures 69 to 85). This emphasis on the dominant, with its second-level middleground tonicization, satisfies the conditions for this section.

The C section, which Schenker suggests might be based on III or V, in spite of its beginning in C major (natural III) does not remain there for a complete descent in that key. After two transferred descents of which the first is abortive, in B flat major [flat II] and c sharp minor [sharp III] the music ultimately finds a complete descent, $\hat{5} - \hat{1}$, in the subdominant minor, d minor. Such a concern with iv at this point, providing, as it does, a balance for the dominant key area which is defined by section B, seems to fit in more comfortably with the sonata-form character of D.951.

Of the three main sonata-form sections, the recapitulation offers the clearest example of the symbiotic relationship between sonata-form and rondo characteristics in the *A-major Rondo*. At the foreground, thematic material from the B and C sections is combined within the final appearance of A:

A ₂	B/C ₁	A ₃
mm. : 176 - 206	207 - 268	269 - 292

This reorganization and development of the rondo material, rather than fitting uncomfortably into the sonata-form scheme helps to underline the function of this section as an area of resolution. Re-reading of the registral and formal tables, together with the voice-leading graphs for the entire composition, shows how these two formal patterns interconnect at every level of the unfolding process.

The aim of this chapter has been to investigate the various voice-leading operations on the formal organization of those Schubert piano duets under review.

Discussion has focused on three main elements for their ability to define new areas in a given composition: the first, and predictably most important, is the interaction of the various grounds of the unfolding process; the second, an outgrowth from the first, the generation of transferred forms of the fundamental line, and the third, most closely related to the specific properties of the piano-duet medium itself, the long-range connection through registral definition. The goal of the fundamental line is the most important aspect of any tonal composition. Just as the fundamental line spawns imitations of itself in smaller and smaller forms as the composition follows its path to the foreground, so it is with formal structures which are, of course, defined by multiple

descent forms which unfold as individual elements of the fundamental line are prolonged or composed out. These things ultimately assume a thematic identity at the foreground; formal regions are characterized at this surface level by the articulation of contrasting thematic ideas.

A path has been followed from short, thematically self contained structures, represented by the marches, to the larger, sonata and sonata-form structures in which secondary key areas are expressed through thematically distinct material at the foreground. The intention has been to reveal the origin of the foreground appearance and its relationship with the background and middleground. Beyond this, there has also been an attempt to show how tonal/formal organization, as observed in the smaller piano-duet compositions, reaches a fuller, more developed expression in the larger, sonata-form movements. To underline this last point it is necessary to look once again at the sonata-rondo form movement, the *Rondo in A major* D.951. In traditional definitions of sonata form the thematic material is described as having specific gestural characteristics; the tonal functions of the various areas which comprise sonata form in turn relate very closely to these gestures:"

A. EXPOSITION:

"... contains a first and second theme connected by a bridge (modulating) passage... Usually there is a difference between the first and second themes, the former being, e.g., dramatic, the latter lyrical. The second theme is in a different key from the first... After the second theme there is often a more or less distinct 'closing theme'."

B. DEVELOPMENT: " The development is the central section of the movement, in position as well as emotional impact. In style and treatment it differs radically from the exposition. Many devices and procedures are used to produce the special character of 'development', 'dynamic tension', 'increased temperature', 'fighting forces', etc., one or both of the themes from the exposition being used as the point of departure. Two important techniques are melodic fragmentation and rapid harmonic modulation... In the development section more than anywhere else, the composer is free to use his ingenuity and imagination."

A,. RECAPITULATION: " ... normally contains all the material of the exposition, though usually with certain modifications in the bridge passages. One modification is obligatory, namely, that the second theme appear in the tonic..."

CODA: "... usually a closing statement of moderate length, sometimes assumes considerable proportions and even becomes another development section."

In a movement which contains elements of both sonata and rondo the thematic material is even more obviously contrasted than in plain sonata form. The organization of the thematic material in D.951 is as follows:

EXPOSITION:

Key	: I		V	
Rondo	: A(a)	(b)	B(a)	(b)
Sonata	: 1st subject	bridge	2nd subject	codetta
Mm.	: 1 - 32	32-54	54 - 91	91-102

DEVELOPMENT:

Key	: I	III- II(V - I) - #III-IV-V
Rondo	: A ₁	C(a) (b)
Sonata	: [1st subject]	[new] [derived from codetta theme]
Mm.	: 175 - 138	138-151 151 - 175

RECAPITULATION:

Key	: I	I
Rondo	: A ₂ (a)	(b) B ₁ (a)
Sonata	: 1st subject	bridge 2nd subject
Mm.	: 175 - 183	183-205 205 - 241

Key	: VI	V	I
Rondo	: C ₁ (b)	B ₁ (b)	A ₂
Sonata	: (cf. 135-175)	(cf. 91-102)	coda
Mm.	: 241 - 257	257 - 268	268 - 292 292 - 310

If these tables are compared with the registral and form tables for D.951 above (pages 105-108) some interesting patterns can be seen to emerge. First of all, the registral connections: the highest register (e⁴) occurs immediately before the new material (C) in the development. This theme is gesturally the most aggressive in D.951; by signalling its appearance through the introduction of the highest register immediately before, its climactic function is emphasized. The highest register is heard again in the recapitulation where, after the headnote (♩) is restated at this register during A₂, it descends to ♯ (measure 212) during the return of the second subject (B₁(a)). Register 2 must be assumed to be the true register as it is in this register that the line ultimately closes in measure 292. Moreover, the first-level middleground transferred descent, which helps to maintain coherence throughout D.951 in the absence of the interruption form which is the normal fundamental-line type in sonata form, is also completed in this register (measure 284). This closure (measure 292) constitutes the structural background for A₃.

The different formal characters of rondo and sonata produce a significant conflict in the exposition of D.951. At the second and third levels of the middleground three subsections are observable: A: a ♩ - ♯ descent in the tonic; B: a ♩ - ♯ descent in the dominant; these two at the second level of the middleground. Finally, and of the nature of a codetta, a complete ♩ - ♯ || ♩ - ♯ descent in the dominant at the third level of the middleground. This interpretation acquires added confirmation by the two statements of the prolonged headnote (♩) which precede the two second-level middleground ♩ - ♯ descent forms. This reading is not contradicted by the essential thematic components, but there is some doubt as to the length of the codetta: thematically it appears to begin in measure 91; structurally its beginning is pushed back

further, to measure 69. This second interpretation must be the 'true' reading, however, as it is defined by tonally structural goals, not by foreground details which only serve those middleground and background motions. The development, about which much has already been said, follows the traditional guidelines which are indicated above.

The recapitulation is more densely populated by structural material in the background and first two middleground levels; thematically this section is also denser and more varied than before. Moreover, there is considerable reorganization of the thematic ideas which reflects the greater density of structural elements. The cause of this intensification is to be found in the tonal function for the recapitulation: that of resolution.

The area which is described in the table above (page 117) as B₁(a) includes two 3 - 1 second-level middleground tonicizations of the tonic key. This signals the statement of the second subject in the tonic; C₁(b) and B₁(b) add further thematic ratification of this resolution at the foreground. The return to A (labelled A₂) in measures 268 to 292 includes the closure of both the first-level middleground transferred descent (measures 269 to 284) and the closure of the fundamental line (measures 286 to 292).

It is neither possible nor necessary to include an exhaustive survey of the interrelationship of thematic gestures, long-range registral connections and the rhythmic displacement of the structural elements of the fundamental line, together with the middleground transferred forms which confirm the prolongational character or explain the composing-out process, in Schubert's sonata-form structures. However, the highlighting of the most important aspects of the relationship of form and content in this music has been the aim in this section of the dissertation, and

although it would be premature to make general statements about Schubert's approach to such issues, it is possible to conclude that there is an integral relationship between thematic, voice-leading and formal properties. Moreover, it seems unlikely that such a level of integration would be confined to the piano-duet repertory alone, or only to this part of it.

Notes.

1. Heinrich Schenker: *Free Composition* translated and edited by Ernst Oster (New York: 1979) Chapter 5, pp.128-145.
2. *ibid.* §302, p.129.
3. *ibid.* §303, p.129.
4. *ibid.* §304, p.129.
5. *ibid.* §306, p.130.
6. Schenker does not mention the case for $\hat{8}$. It seems reasonable to assume that his statements for interruption form in $\hat{3} - \hat{1}$ and $\hat{5} - \hat{1}$ lines can be extended to include $\hat{8} - \hat{1}$ lines.
7. *Free Composition* §310, pp. 132-133.
8. See Chapter 4, pp. 76-77.
9. See James Webster: 'Schubert's Sonata Form and Brahms' First Maturity' in, *Nineteenth-Century Music* II (1978) pp. 18-35 and III (1979) pp. 52-71.
10. *Free Composition* §312, p. 134.
11. Heinrich Schenker: 'Organic Structure in Sonata Form', *Das Meisterwerk in der Musik* II (reprinted in *Readings in Schenker Analysis and Other Approaches* [ed. Yeston]) p.39.
12. *Free Composition* §314, pp. 136-137.

13. The first article to draw attention to this aspect of Schenker's theory was Ernst Oster: 'Register and Large-Scale Connection'. Originally published in *Journal of Music Theory* 12 (1968), this essay was reprinted in *Readings in Schenker Analysis and Other Approaches* [ed. Yeston] in 1977 (pp. 54-71).
14. *Free Composition* 6319, pp. 141-142.
15. *Harvard Dictionary of Music* (2nd edition, 1970) pp.791-792.

Chapter 7 : Conclusion

Through the progression from the smaller musical forms, represented by the marches, to the larger forms, exemplified in the *Allegro in a minor*, "*Lebensstürme*" D.947 and the *Rondo in A major* D.951 it has been possible to show an evolution in Schubert's treatment of compositional issues from the general, in his management of major/minor contrast and in his choice and unfolding of second-level middleground alternative key regions, to the detailed, in his choice and technical deployment of the various different forms of the fundamental line. Within this plan the *Grande Marche Héroïque* D.885 has provided an invaluable connective link. The investigation of these things has been revealing not only in terms of articulating a more fully developed view of Schubert's characteristics as a composer worthy of serious consideration but also in coming to some conclusions about his importance in the history of tonal music¹.

In broader terms, this study has attempted to show that the organic process of tonal music has an existence which is independent of the individual personality of the composer who works within its constraints². There is no intention to suggest that Schenker's theory of tonality or my interpretation of it is autocratic; however it is clear that contained within this theory are various requirements for resolution which must be satisfied to produce a coherent and stable tonal structure. In many of the compositions which have been examined in this dissertation, but most vividly in the *Grande Marche Héroïque* D.885, Schubert creates an unusual structure which in turn generates unusual problems. The unorthodox solutions which he applies to resolve these problems do much to question the efficacy of Schenkerian methodology for the analysis of this music,

and consequently provide supporting evidence for a view which identifies a tension between the living musical organism and Schenker's highly developed theory of tonality.

The variety of structures which has been observed in the marches for piano duet demonstrate Schubert's fertile musical imagination. The fact that the surface formal design remains fairly constant whilst the internal tonal structure exhibits a considerable range of different approaches gives evidence of the experimental nature of these pieces; this experimentation finds its most extraordinary expression in the *Grande Marche Héroïque* D.885. In this work the conflict between deep-level and surface structure risks the disintegration of tonal coherence. Although Schubert wrote three piano-duet marches after D.885 this work represents the last in the main line of production in this medium (*Kindermarsch* D.928 was written for a specific commission and the *Deux Marches Caractéristiques* D.968b manifestly demonstrate a departure from what Schubert had been doing two years before) it seems likely that the need to control the tonal approaches which had emerged in these smaller musical forms prompted the progression to sonata-form structures³.

It is in the larger, dramatically richer environment of sonata form that the control of the tension between deep-level and surface structure is most successful. The three-key exposition of the movement known as "*Lebensstürme*" D.947 shows how this tension operates at the level of the structural line itself in counterpoint with the functional character of the main sonata-form divisions. Further ratification of this controlling influence of surface and deep-level structure can be found in one of Schubert's most famous works, which also has a three-key exposition, the *Sonata in C major "Grand Duo"* D.812⁴.

Figures 7.1 through 7.3 show middleground graphs for the first movement of D.812. The opening of the piece immediately raises doubts as to the identity of the headnote; the graphs demonstrate a descent from $\hat{5}$. The headnote is prolonged whilst the bass progresses from the tonic to the mediant. During this mediant harmonic support a first-level middleground descent unfolds from the $\hat{5}$ (measures 17 to 20). After an octave registral coupling upwards the $\hat{5}$ descends as far as the $\hat{3}$ at the first level of the middleground. This descent opens the way for subsequent tonicization of alternative, contrasting key regions at the second level of the middleground. The e natural to which the $\hat{5}$ had descended in measure 28 is converted to e flat in measure 56 after regaining the obligatory register. The status of the e flat is subsequently elevated to the level of a headnote ($\hat{5}$) for a second-level middleground descent in flat VI (A flat major). A complete $\hat{5} - \hat{1}$ descent unfolds in this key and is completed in measure 66. A descending fifth progression at the third level of the middleground which imitates the A-flat major descent connects the closure on a flat with the articulation of a new, second-level middleground descent now in the dominant (G major) to complete the structural material of the exposition.

As Schubert chooses A flat major (flat VI) for the main alternative key area in the exposition instead of the more usual dominant key it is necessary to investigate how the development section (shown in figure 7.2) is modified to accommodate this. In D.812 Schubert responds by reflecting the flat VI harmony of the exposition with an environment flavoured by mediant harmony. This tonicization of III also recalls the mediant harmonic support of the prolonged $\hat{5}$ in measure 17 as the second-level middleground $\hat{5} - \hat{1}$ descent in III (E major) is introduced as an outgrowth from a regained $\hat{5}$ supported by tonic harmony in measure 151.

The recapitulation (figure 7.3) also demonstrates a deeper-level connection with the exposition. The structural 4, supported by flat VII harmony in 6/3 inversion appears an octave above the obligatory register. This recalls the registrally transposed statement of the structural 5 in measure 25: the remainder of the line also appears in this register (measures 299 to 369). This provokes the need to identify the true register. The answer is to be found in the structural activity at the two registral levels under consideration. The lower register, in which the structural 5 originally appears, is that at which almost all second-level middleground alternative key regions appear. The upper register is reserved for the fundamental structural line. In this way D.812 recalls the registral distinction of hierarchical levels which was encountered in the *Grande Marche Funèbre* D.859 (see above, Chapter 3).

During a discussion of the last piano sonata, in B flat Major D.960, Charles Rosen establishes a modulatory model for Schubert's three-key expositions. To support his interpretation he brings both the "*Grand Duo*" D.812 and "*Lebensstürme*" D.947 into the argument. Rosen's analysis in both cases yields much the same results as my own, but the conclusions he draws on the basis of his analysis are somewhat different. He contends that the effect of the compositional practice which yields the three-key expositions in these compositions by Schubert,

"...reduce the polarized energy of the expositions by turning the oppositions of tonality into a sequential movement. It is in this that Schubert's influence on later generations is most powerful."

I would not argue with the statement that Schubert was highly influential, but I do not agree with Rosen's explanation of this influence. A comparison of the approach to both the A-flat major tonicization and that in G major in D.812 makes the issue clear:

Ex.27:

Handwritten musical notation for Example 27. The notation consists of a treble staff and a bass staff. The bass staff contains a series of numbered boxes (57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80, 81, 82, 83, 84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 98, 99, 100, 101, 102, 103, 104, 105, 106) and Roman numerals below them. The Roman numerals are: VI(I 6 II V4 I) and V(I V' I V I). The treble staff has a melodic line with a final cadence marked with a double bar line and a fermata.

In both cases the headnote is approached through an ascending progression at the third level of the middleground. The enharmonic respelling of d flat as c sharp facilitates the progression to d as the headnote (5) of G major instead of e flat as the headnote (5) of A flat major. The association which is formed by this device is sufficient to convey the feeling of a grand appoggiatura, a flat - g natural, at the second level of the middleground. So, rather than "reducing the polarized energy" between tonic and dominant at this level, at least, this energy is intensified.

It would seem that Rosen has not gone far enough. It is the conflict between the apparent dilution of polarized energy at the foreground and the intensification of that same energy at the middleground which consequently imbues the Schubertian three-key exposition with the dramatic force with which it is characterized. This is most appropriate in a movement which was subtitled "*Lebensstürme*".

Thus Schubert revitalized sonata form through the intensification of dramatic power through purely musical means: the tension between surface and deep-level tonal structure. Herein lies the true identity of Schubert's influence on later generations: symbiosis of form and content which generates dramatic integration replaces the dramatically distinct areas which are a product of classical balance⁷.

This study has further sought to show that Schubert's piano-duet output provides a rich source for the investigation of such issues. Schubert has achieved most recognition for his vocal music and indeed it seems likely that many of the compositional techniques which have been observed in the pieces which have been examined above grew from his wide experience in the musical representation of the dramatic content of poetic texts. Although the exploration of this hypothesis in closer detail lies beyond the scope of this dissertation an example taken from Schenker's own writings contrasted with one taken from an article by Harald Krebs might prove helpful⁸.

In the introduction to *Free Composition* Schenker mentions a short Schubert song, *Wandlers Nachtlied* ("Der du von dem Himmel bist...") D.224. He says:

"If a differentiation is to be made between 'classic' and 'romantic', only the degree of tension and fulfilment should be considered. A classical work will exceed a romantic one in the height and extent of its tension and in the profundity of its fulfilment, even if it may be a short work. Thus Schubert's *Wandrer's Nachtlied* ("Der du von dem Himmel bist...") is classical in every way by virtue of the power and tension of its few scale-degrees which unify the entire text."

This is to say that the demarcation of dissonance and consonance is more sharply defined in a classical piece than in a romantic piece, and that consequently there is a heightening of tension between the two. But we have seen how Schubert's classical background, flavoured with romanticism, leads to imaginative solutions which heighten rather than weaken the tension. Harald Krebs' studies of Schubert's songs appear to indicate a disintegration of tonal coherence in Schenkerian terms. He identifies structures which include two fundamental-line descents of equal importance: his graph for *Klage an den Mond* D.436 shows descents in both F major and d minor. Krebs discovers in this song, amongst others, a group of tonal compositions which he describes as having a 'background conglomerate'; that is, they reduce to a background with two [or more] triads. Where the setting of a poetic text is concerned it is easy to accept the possibility of two distinct tonal regions each of which forms the expression for a specific poetic or emotional idea. But, although it may be possible to construct an argument for making such pieces special cases on the basis of the textual properties of the poem which is set, such a structure would be unacceptable for an instrumental composition in which the poetic idea is purely musical. One possible exception to this might

be found in programmatic music. Schubert's strenuous efforts to maintain coherence through the manipulation of the voice leading in the piano-duet works which have been examined above show his understanding of this basic issue. Indeed, the contrast between his compositional procedure in his songs as opposed to his instrumental works would strengthen this view. What is interesting is the extent to which Schubert managed to incorporate his more adventurous approach to tonality, acquired during his song writing, into his instrumental works whilst maintaining tonal coherence in terms of orthodox Schenkerian theory.

Chapter 6 is concerned with form. Aside from the fuller information which this chapter provides, it also serves the function of demonstrating an evolutionary pathway through the piano duets which have been examined. It has become clear that the effect of unusual prolongational structures, characteristic of these pieces, is apparent at the level of surface and sub-surface formal organization. The *Grande Marche Héroïque* has proved particularly revealing for its ability to shed light on both the simpler marches and the more complex sonata-form works.

A second, no less important, function of Chapter 6 is the clarification of the interaction of the various grounds of the unfolding process. The effect of this aspect of a composition on the generation of form types is crucial. The awareness of the interaction of background, middleground and foreground is vital to a proper understanding of a musical composition, as is the ability to perceive the range and multiplicity of middlegrounds.

The third aspect of Chapter 6 is its explanation of the rôle of register not only in the unfolding process at the background but also in the definition of regions at the hierarchical level of the grounds. That is, the formation of long-range connections across large spans specific to a given level. This is almost certainly a

phenomenon which emerges from the natural properties of the piano duet. The reader will recall that in Chapter 1 attention was drawn to the textural properties of the duet and of its relationship with solo piano/instrumental forces on the one hand, and full orchestral forces on the other. In Chapter 5, during the analysis of the *Allegro in a minor "Lebensstürme"* D.947, a pattern emerged in which texture and tonal function were found to be related. In Chapter 5, where form is specifically addressed, the particular use of register in the *Rondo in A Major* D.951 (the partner of D.947) is identified as a form-generative feature.

Just as Schubert was aware of the expressive capabilities of the musical forces in his *Lieder* he was clearly also keenly aware of those same things in his piano duets. This fact inescapably leads to the conclusion that Schubert's interest in the piano duet was not merely as a compositional tool through which he could develop his art but also as a self-reliant genre. There were only two short periods, each of four years (1814 to 1817 and 1820 to 1823), when Schubert wrote no original piano duets. These two gaps in his duet output roughly coincide with his two periods of concentration on operatic composition.

Schubert desperately wanted to be a success as an opera composer. He was innovative in two main areas, the art song and the piano duet; that he should write no duets during his periods of operatic activity seems significant. Nowhere else is the manipulation of contrasting forces and textures more apparent than in an opera. Might Schubert have felt that what he learned at the keyboard with the piano duet (and also in the art song) would train him into more effective use of texture for dramatic expression? He is certainly successful in this area in the work known as "*Lebensstürme*"; he found success too in his small-scale vocal composition. It would seem that he became the victim of his own success: he perfected the piano duet

and the art song as powerful musical forms and not as training exercises. He moulded the piano duet into an instrumental form with a self-reliant identity at every level of its being, to the extent that transplantation of the techniques he developed herein became not only inappropriate but impossible. Attempts have been made to explain Schubert's failure as an opera composer and it is not intended to challenge those studies here¹⁰. What has been attempted here is a definition of the true place of the piano duet, as represented by the works considered in this study, in Schubert's output as a whole.

Franz Schubert's place is that of a composer who understood well the principles of the classical tradition, but who was also intimately involved with the emerging romantic movement. This created the ideal conditions for the development of his individual musical personality. It is this particular combination of classical and romantic characteristics in his music that has promoted Schubert's influence on later generations. This is most apparent in his approach to tonal structure and its consequent effect on form. Where Schubert's procedures are unorthodox they are so in the service of the expansion of the poetic expression be it verbal or musical. In this sense Schubert was probably the first wholly romantic master. His adventurous manipulation of form and content was born not from hours of intellectual machination but from the spontaneous product of a poetic idea, where the word 'poetic' is used in its purest sense: taken from the Greek *ποιεω* - to make. But this spontaneity was controlled by a classical tonal background. The effect which Schubert had was to be felt throughout the nineteenth century and beyond. To misquote Debussy's comment about Wagner, there is some truth in the statement that Schubert was "the dawn that was mistaken for a beautiful sunset".

Notes.

1. One of Schubert's favoured compositional techniques, that of modulation by reinterpreting a note of one fundamental-line form as the headnote for another, is particularly important in this respect. This has been discussed in the author's Master's dissertation, *Tonal Structure, Form and Design in Schubert's f minor Fantasy for Piano Duet, D. 940* (U. of London, King's College: 1981). As a modulatory technique this kind of reinterpretation as a form-generative feature serves to highlight the character of 'fantasy' (see above, page 41):

Ex. 28:

i (f minor): bVI b3
bIII (a minor): #III b3

I II V4 3 I

This technique has also been identified in works in other forms and mediums, such as Schubert's 'Unfinished' Symphony D.759, by James Webster (see, "Schubert's Sonata Form and Brahms' First Maturity" in *Nineteenth-Century Music* II (1978), pp. 18-35, and III (1979), pp. 52-71.

2. This view is consistent with that expressed by Igor Stravinsky when he discusses the composer as artisan (see, "The Composition of Music" in *The Poetics of Music*, Harvard: 1947).

3. This recalls Schubert's letter to Pachler (see above, Chapter 3, page 36) in which he says "...I do not feel that I am exactly made for this kind of composition.". Had Schubert abandoned the piano-duet march as a genre as a result of his experiences in D.602, D.733, D.819, D.859 and D.885?
4. It has often been suggested that D.812 is the missing Gmunden-Gastein symphony. Indeed, Brahms' friend the violinist, Joseph Joachim, produced a complete orchestration of the work, which was originally published in 1873 by the Viennese firm, Schreiber (plate number 22443). Maurice Brown wrote a thorough refutation of this theory in an article entitled, "Schubert's *Grand Duo*" (*Monthly Musical Record* 77 (1947) pp. 98-101). In this article he observes that many of the features which had prompted previous scholars to think of the *Grand Duo* as a symphony arranged for piano duet are characteristic of Schubert's piano-duet style. The findings of this study support Brown's view.
5. Charles Rosen: *Sonata Forms* (Norton: 1985) p.249n.
6. The subtitle was the publisher's, not Schubert's.
7. I have not attempted a full survey of Schubert's approach to sonata form here as there is already an extensive bibliography in this area. The more important of these are: Malcolm Boyd: "Schubert's Short Cuts" in *The Music Review* 29 (1968) pp. 12-21; Daniel Coren: "Ambiguity in Schubert's Recapitulations" in *Musical Quarterly* 60 (1974) pp. 568-582; Hermann Keller: "Schuberts Verhältnis zur Sonatenform" in *Musa-mens-musici: Im Gedanken an Walther Vetter* (1969) pp. 287-297; Felix Salzer: *Die Sonatenform bei Schubert* PhD diss. Vienna: 1926, and

Hans Joachim Thersappen: *Die Entwicklung der Form bei Schubert* (Leipzig: 1931).

8. "The Background Level in some Tonally Deviating Works of Franz Schubert" in *In Theory Only* 8.8 (December 1985) p.7.
9. Heinrich Schenker: *Free Composition* (New York: 1979) introduction p.xxiv and fig. 37a.
10. The two most important studies in this field are Judith Marcia Citron: *Schubert's Seven Complete Operas : a Musico-Dramatic Study* (PhD. diss. North Carolina, Chapel Hill: 1971) and Elizabeth Norman Mackay: *The Stage-works of Franz Schubert considered in the Framework of Austrian Biedermeier Society* (PhD. diss. Oxford: 1962).

Appendix

It would be superfluous to include detailed information on all the surviving manuscripts of Schubert's piano-duet output; although an investigation of all this material formed an important part of the research for this dissertation. For this reason only specifications for the extant manuscript material for works which have been specifically considered in the body of the dissertation are included here.

Each listing shows the references for the Old Collected Edition (AGA) and the New Schubert Edition (NGA), the date of composition, the bibliographical information for the first edition and the location, together with a detailed collation, of the autograph manuscript(s). *Abschriften* have not been included.

Bibliographical information on the secondary literature which was used during the preparation of this appendix has been included in the general bibliography.

Fantasy for piano duet, D.1 AGA IX, 3, No. 30; NGA VII/I 1.

8 April - 1 May 1810.

1st edition: AGA 1888.

Autograph: 1. Pierpont Morgan Library (Cary Music Collection).

Fragment of fair copy? Four bifolia, not gathered (i.e. pages 9-24 only). In parts.

Paper type: upright format (Schubert's rarest paper type). 12 staves.

Total span: 252 mm.

This manuscript also includes an extra leaf cut into two parts, each of six staves. This extra leaf is not recorded in the thematic catalogue.

- f.1r. Primo: I, mm. 336-end; II mm. 1-67
1v. Secondo: II, mm. 68-147
2r. Primo: II, mm. 68-147
2v. Secondo: II, mm. 148-214
3r. Primo: II, mm. 148-214
3v. Secondo: II, mm. 215-296
4r. Primo: II, mm. 215-296
4v. Secondo: II, mm. 297-404
5r. Primo: II, mm. 297-404
5v. Secondo: II, mm. 405-502
6r. Primo: II, mm. 405-502
6v. Secondo: II, mm. 503-585
7r. Primo: II, mm. 503-585
7v. Secondo: II, mm. 586-end (m. 615) + *Allegretto*
8r. Primo: II, mm. 586-end (m. 615) + *Allegretto*

8v. Secondo: III, cancelled Finale - begins in the same way as the published version (to m.28). Included *Fuga*; not in the published version - v. Reinhard van Hoorickx, *Counterpoint and Fugue in Schubert's Piano Music* The Piano Quarterly.

Extra leaf: In two parts, each of six staves. The first is written in score : 2nd line of *secondo* (i.e. staves 7 & 8) crossed through. The last part of written staves (9 & 10) shows *Primo* only:

recto, written in score. Apparently has no counterpart in the published version (see my transcription); *verso*, written in parts. II: *Andante Primo* mm.227-255; *Secondo* mm.227-264.

2. J. A. Stargardt, Marburg, Auction Catalogue 592 9 June 1972 - item #145 (with facsimile of *secondo* mm.244-290). Half a leaf (six staves):
I. *Primo*. mm.160-203; *Secondo* mm.244-290.

3. Familie Heuberger, Innsbruck.

I *Primo* mm.207-209, 221-224, 233-237; *Secondo* mm.299-307, 322-327. (Part of same ms. as 1. ?)
- and part of the same ms. as the Pierpont Morgan.*

4. Private collection, Vienna. (Originally owned by Dr. Alwin Cranz, Vienna.)

Finale with a title-page "Finale" and also a title-page for the whole fantasy: "Fantasie pro Forte....piano Del. sig. Franz Schubert m.p. Den 8 Aprill angefangen Den 1 May vollbracht 1810".

5. Frau Anna Siegmund, Znaim, CSSR. Missing.

* The manuscript was divided up by Andreas Schubert (Franz's step-brother, Frau Siegmund's father): 1. To Richard Heuberger.

On 16 August 1973 Reinhard van Hoorickx privately published the Fugue in C major from the Fantasy D.1 for piano duet. He numbered this Fugue D.1A. He says:

"The completion for practical use (a Primo part and 3 bars added to make a proper ending), is mostly based on material which is found in the Secondo part."

Fr. Reinhard van Hoorickx kindly made a copy of this available to me. This has been included at the end of this appendix with the permission of the editor.

Fantasy in g minor, D.9 AGA IX, 3 No.31; NGA VII/1, 1

Autograph: 1. Deutsche Staatsbibliothek, Berlin. Mus.
ms. autogr. Schubert 7.

2. Wiener Stadtbibliothek, MH 190/c.

20 September 1811.

First Edition: AGA 1888.

Paper type: Hilmar WZ 51 (?); 12 staves. Total span
184mm.

1.

f.1r. Title page: "Fantasie/componirt/vom/H.F.S."

In the bottom left corner: "Im 20 September
1811".

1v.	Secondo:	mm.	1- 39
2r.	Primo:	mm.	1- 39
2v.	Secondo:	mm.	40- 81
3r.	Primo:	mm.	40- 81
3v.	Secondo:	mm.	82-117
4r.	Primo:	mm.	82-117
4v.	Secondo:	mm.	118-163
5r.	Primo:	mm.	118-163
5v.	Secondo:	mm.	164-201
6r.	Primo:	mm.	164-201
6v.	Secondo:	mm.	202-end
	Primo:	mm.	202-end missing (see below).

2.

Primo: mm. 202-end; last leaf of 1.
above.

Fantasy in c minor, D.48 AGA IX, 3 No.32; NGA VII/1.1

April to June 1813.

First Edition: Published as "*Grosse Sonate (unvollendet)*" by J.P. Gotthard, Wien: 1871 (VN 130) without the closing fugue.

Complete: AGA 1888

Autograph: Wiener Stadtbibliothek, MH 153/c.

Paper Type: Hilmar: f.1-2: WZ 84; f.3-4: WZ 85; f.5-6: WZ 83; f.7-10: WZ 82; f.11-14: WZ 24; f.15-18: WZ 23.

First draft with the superscription "Fantasie", and dated, at the beginning, April 1813, at the end, 10 June 1813. In score. Nine individual bifolia, not gathered.

f. 1r.	mm.	1- 23	
1v.	mm.	24- 40	
2r.	mm.	41- 58	
2v.	mm.	59- 78	(with insert to clarify mm. 75-78)
3r.	mm.	79- 99	
3v.	mm.	100-117	
4r.	mm.	118-133	
4v.	mm.	134-154	
5r.	mm.	155-209	(including D.C. mm. 5-44 (<i>Allegro</i>) not written out).
5v.	mm.	210-224	
6r.	mm.	225-241	
6v.	mm.	242-256	
7r.	mm.	257-271	
7v.	mm.	272-288	then segue Fuga
8r-9r:		cancelled fugue (73 bars only).	Not published, but completed for practical use by Reinhard van Hoorickx and also by Nicholas Rast.
9v.	mm.	289-307	

10r.	mm.	308-324	
10v.	mm.	325-341	
11r.	mm.	342-357	
11v.	mm.	358-378	
12r.	mm.	379-397	
12v.	mm.	398-417	
13r.	mm.	418-437	
13v.	mm.	438-441	plus 14 cancelled bars.
14r.	mm.	442-460	
14v.	mm.	461&470	plus 13 cancelled bars. Measures 462 to 469 of printed version only occur in an <i>Abschrift</i> by Albert Stadler (Library of Congress, Washington [The Whittall Foundation Collection]).
15r.	mm.	471-491	
15v.	mm.	491-500	
16r.	mm.	501-517	
16v.	mm.	518-536	
17r.	mm.	537-552	
17v.	mm.	553-563	plus 10 cancelled bars.
18r.	mm.	564-569	plus 13 cancelled bars.
18v.	mm.	570-end	

Sonata in C major ("Grand Duo") D.812 AGA IX.2 No.12:
NGA VII/1.2.No.1.

Zseliz, June 1824.

First Edition: Published as 'Grand Duo', Op.140, and
dedicated by the Publishers to Clara
Wieck. A. Diabelli & Co., VN 6269, Wien
29.12.1837.

Nottebohm 142; Hirsch IV, 619; Puschl
lists 1st edition.

Autograph: The Bodleian Library, Oxford, MS. M. Deneke
Mendlessohn 1 c.9.

Paper type: Dürr type 3 and 3a'.

f.1r. Title page: "Sonate/für's
Pianoforte zu 4 Hände/Opus
140/Franz Schubert mpia/Zseliz
Juny 1824.

1v. Secondo mm. 1- 27 *Allegro*
Moderato

2r. Primo mm. 1- 27

2v. Secondo mm. 28- 60

3r. Primo mm. 28- 60

3v. Secondo mm. 61- 85

4r. Primo mm. 61- 85

4v. Secondo mm. 86-112

5r. Primo mm. 86-112

5v. Secondo mm. 113-144

6r. Primo mm. 113-144

6v. Secondo mm. 145-176

7r. Primo mm. 145-176

7v. Secondo mm. 176-205

8r. Primo mm. 176-205

8v. Secondo mm. 206-242

9r.	Primo	mm.	206-242	
9v.	Secondo	mm.	243-273	
10r.	Primo	mm.	243-273	
10v.	Secondo	mm.	274-306	
11r.	Primo	mm.	274-306	
11v.	Secondo	mm.	307-345	
12r.	Primo	mm.	307-345	
12v.	Secondo	mm.	346-379	
13r.	Primo	mm.	346-379	
13v.	Secondo	mm.	1- 36	<i>Andante</i>
14r.	Primo	mm.	1- 36	
14v.	Secondo	mm.	37- 72	
15r.	Primo	mm.	37- 72	
15v.	Secondo	mm.	73-109	
16r.	Primo	mm.	73-109	
16v.	Secondo	mm.	110-144	
17r.	Primo	mm.	110-144	
17v.	Secondo	mm.	145-175	
18r.	Primo	mm.	145-175	
18v.	Secondo	mm.	176-207	
19r.	Primo	mm.	176-207	
19v.	Secondo	mm.	208-250	
20r.	Primo	mm.	208-250	
20v.	Secondo	mm.	1- 45	<i>Scherzo:</i>
21r.	Primo	mm.	1- 45	<i>Allegro</i>
				<i>Vivace</i>
21v.	Secondo	mm.	46-102	
22r.	Primo	mm.	46-102	
22v.	Secondo	mm.	103-164	
23r.	Primo	mm.	103-164	
23v.	Secondo	mm.	1- 56	<i>Trio</i>
24r.	Primo	mm.	1- 56	
24v.	Secondo	mm.	57- 72	
		mm.	1- 34	<i>Allegro</i>
				<i>Vivace</i>
25r.	Primo	mm.	57- 72	<i>(Trio)</i>
		mm.	1- 34	<i>Allegro</i>
				<i>Vivace</i>

25v.	Secondo	mm.	35- 76
26r.	Primo	mm.	35- 76
26v.	Secondo	mm.	77-119
27r.	Primo	mm.	77-119
27v.	Secondo	mm.	120-171
28r.	Primo	mm.	120-171
28v.	Secondo	mm.	172-224
29r.	Primo	mm.	172-224
29v.	Secondo	mm.	224-269
30r.	Primo	mm.	224-269
30v.	Secondo	mm.	270-309
31r.	Primo	mm.	270-309
31v.	Secondo	mm.	310-353
32r.	Primo	mm.	310-353
32v.	Secondo	mm.	354-397
33r.	Primo	mm.	354-397
33v.	Secondo	mm.	398-452
34r.	Primo	mm.	398-452
34v.	Secondo	mm.	453-513
35r.	Primo	mm.	453-513
35v.	Secondo	mm.	514-end
36r.	Primo	mm.	514-end
36v.	Blank.		

Kindermarsch D. 928 AGA IX, 1, No. 7; NGA VII/1, 4, No. 7.

12 October 1827.

First Edition: Kinder-marsch für Pianoforte zu 4 Händen
(Componirt am 12 October 1827) von Franz
Schubert. Nachgelassenes Werk. J.P.
Gotthard, VN 53, Wien 1870.
Nottebohm 209;

Autograph: Gesellschaft der Musikfreunde, Wien. MS. A
253.

Fair copy: Two leaves (separate) in parts.

Paper type: Dürr type 4. 12 staves.

Below the *Secondo* and *Primo* parts of the manuscript
Schubert has written:

"I herewith send your honour the four-handed
piece for little Faust. I fear I shall not earn
his applause, since I do not feel that I am
exactly made for this kind of composition. I
hope that your honour is in better health than I,
for my usual headaches are already assailing me
again. Pray give Dr. Karl my heartiest good
wishes for his name-day and tell him that the
book of my opera, which that sloth, Herr
Gottdank, has had for months to read through, has
not yet been returned to me even now. For the
rest, I remain,

with all respect,

your most devoted

Vienna, 12 October 1827

Franz Schubert."

This march was intended for little Faust Pachler and
his mother to play on Dr. Pachler's name-day, 4
November.

On the reverse side of the *Primo* part is written:

"Dear little Friend,

That I did not fail to carry out your commission you will see from this sheet. Study it diligently, therefore, and think of friend Tubby and me on the 4th of the coming month. Give your father all the best messages you can think of on his name-day; we shall be with you all in the spirit on that day. Write to me again soon, for your letter gave me much pleasure. But I did not receive it until the 10th of this month through friend Gomez. Many, many greetings to your highly honoured, dear parents and all other acquaintances. You dear Faust, be heartily kissed by

Your friend

Vienna, 12 October 1827

Hans Jenger"

Fantasy in f minor, D.940 AGA IX, 3 No.24; NGA VII/1.3

April 1828.

First Edition: Dedicated by the publisher to Madame La Comtesse Caroline Esterhazy de Galantha, and published as Opus 103, A. Diabelli & Co., VN 6269, Wien 16.3.1829.

1. Family Floersheim, Basel [PhA 1064].

Sketch: Measures 1-433 in score, dated January 1828. This version contains the march which Schubert later replaced with the *con delicatezza* (measures 422-433).

2. Österreichische National Bibliothek, Wien MH 19491.

Paper type: Winter type VIIb. 23 leaves gathered. Total span 185mm., 12 staves. Fair copy.

f.1r. Title page: "Fantasie/für 1 Pianoforte zu 4 Händen/Op.103. In the bottom right corner:
Componirt von Franz Schubert
mpia/April 1828.

1v.	Secondo	mm.	1- 22	<i>Allegro molto moderato</i> 4/4 (mm.1-120).
2r.	Primo	mm.	1- 22	
2v.	Secondo	mm.	23- 42	
3r.	Primo	mm.	23- 42	
3v.	Secondo	mm.	43- 65	
4r.	Primo	mm.	43- 65	
4v.	Secondo	mm.	66- 87	
5r.	Primo	mm.	66- 87	
5v.	Secondo	mm.	88-108	
6r.	Primo	mm.	88-108	
6v.	Secondo	mm.	109-127	<i>Largo</i> (mm.121-163).

7r.	Primo	mm.	109-127	
7v.	Secondo	mm.	128-142	
8r.	Primo	mm.	128-142	
8v.	Secondo	mm.	143-158	
9r.	Primo	mm.	143-158	
9v.	Secondo	mm.	159-185	<i>Allegro vivace</i> 3/4 (mm. 164-273).
10r.	Primo	mm.	159-185	
10v.	Secondo	mm.	186-220	
11r.	Primo	mm.	186-220	
11v.	Secondo	mm.	221-256	
12r.	Primo	mm.	221-256	
12v.	Secondo	mm.	257-290	<i>con delicatezza</i> (mm. 273-312)
13r.	Primo	mm.	257-290	
13v.	Secondo	mm.	291-327	<i>Allegro vivace</i> (repeat, mm. 312-437).
14r.	Primo	mm.	291-327	
14v.	Secondo	mm.	328-364	
15r.	Primo	mm.	328-364	
15v.	Secondo	mm.	365-401	
16r.	Primo	mm.	365-401	
16v.	Secondo	mm.	402-437	
17r.	Primo	mm.	402-437	
17v.	Secondo	mm.	438-463	<i>Tempo Primo</i> 4/4 (mm. 438-end).
18r.	Primo	mm.	438-463	
18v.	Secondo	mm.	464-486	<i>Fugue</i> (mm. 474-553).
19r.	Primo	mm.	464-486	
19v.	Secondo	mm.	487-509	
20r.	Primo	mm.	487-509	
20v.	Secondo	mm.	510-529	
21r.	Primo	mm.	510-529	
21v.	Secondo	mm.	530-549	
22r.	Primo	mm.	530-549	
22v.	Secondo	mm.	550-end	
23r.	Primo	mm.	550-end	
23v.	Blank.			

Rondo in A major D.951 AGA IX. 2 No. 13: NGA VII/1. 3.

June 1828.

First Edition: Published as 'Grand Rondeau', Op.107.

Artaria & Co., VN 2969, Wien 11.12.1828.

Nottebohm 122; Hirsch IV, 587; Puschl lists first edition.

1. Richard Stöhr, Jerusalem.

Sketch: One leaf, which begins two measures before measure 24, and is written out, to measure 72, mostly only on the uppermost system.

2. Deutsche Staatsbibliothek, Berlin.

Mus. ms. Schubert 4.

Preliminary draft: In parts, dated June 1828. On folios 8 and 9 of the manuscript, two sketches:

i) Measures 143-161 of the final version (9 pages, i.e. to 5r.).

ii) The closing 27 measures (8 pages, i.e. to 4v.).

Both are strongly divergent from the final version and are predominantly notated on the uppermost system.

Paper Type: Winter type VIIc².

f.1r. mm. 1- 26

1v. mm. 27- 44

2r. mm. 45- 68

2v. mm. 69- 95

3r. mm. 96-120

3v. mm.121-137 plus 4 cancelled measures.

4r. mm.138-161

4v. Sketch of closing 27 measures.

5r. Sketch of measures 142 (sic) - 161.

5v. mm. 162-185

6r. mm. 186-203

6v. mm. 204-224

7r. mm. 225-247

7v. mm. 248-269

8r. mm. 270-292

8v. mm. 293-end.

Notes.

1. See, Walter Dürr: Neue Schubert-Ausgabe, Serie IV: Lieder, Band 1, Kritischer Bericht (Tübingen: 1972).
2. Translation by O. E. Deutsch. See, *Schubert: A Documentary Biography* (London: 1946) p.679 Nos. 957 and 958.
3. See, Robert Winter: 'Paper Studies and the Future of Schubert Research' in, *Schubert Studies* Ed. Paul Badura-Skoda & Peter Branscombe (Cambridge: 1982) pp.209-275.

[R. van Hoorickx]

FUGA in C-Dur (C major)

FRANZ SCHUBERT

April 1810

D 1. [a]

Allegro maestoso

I (Primo)

II (Secondo)

80

80

80

(tr)

The musical score is written for two voices (Primo and Secondo) and piano accompaniment. The tempo is marked 'Allegro maestoso'. The key signature is C major. The score includes measures 1 through 40, with repeat signs and measure numbers (80, 80, 80) indicating specific sections. The piano part includes trills and other ornaments.

27

This page contains a handwritten musical score for piano, spanning measures 27 to 32. The music is written in a single system with three systems of staves. Each system consists of a grand staff (treble and bass clefs) and a single bass staff. The key signature is one sharp (F#), and the time signature is 2/4. The notation includes various musical symbols such as notes, rests, accidentals, and dynamic markings like 'p' (piano) and 'f' (forte). The score is written in a clear, legible hand.

Handwritten musical score for piano, measures 50-57. The score is written on three systems of grand staves (treble and bass clef). The key signature is one sharp (F#). The time signature is 3/4. The notation includes various musical symbols such as notes, rests, accidentals, and slurs. The first system (measures 50-51) shows a complex melodic line in the right hand and a more rhythmic accompaniment in the left hand. The second system (measures 52-53) continues the melodic development. The third system (measures 54-55) features a prominent melodic phrase in the right hand. The fourth system (measures 56-57) concludes the passage with a final melodic flourish in the right hand and a sustained bass line in the left hand.

FRANZ SCHUBERT

(1797 - 1828)

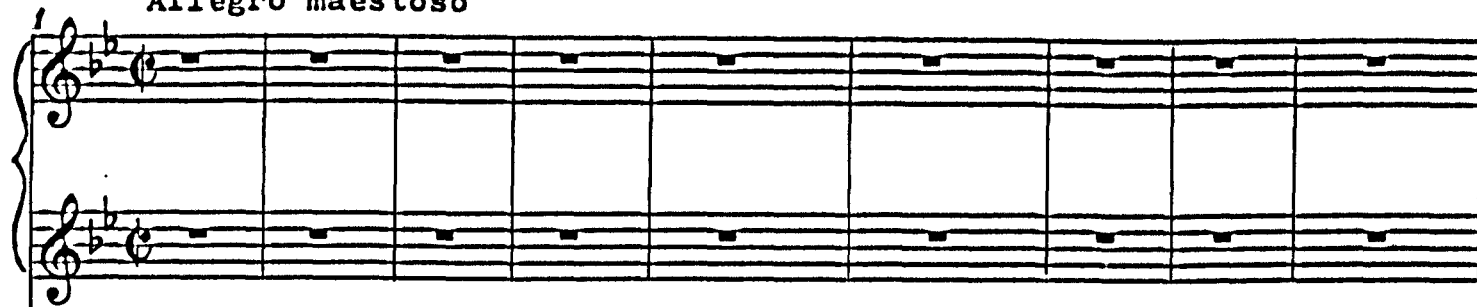


FUGA *in B*

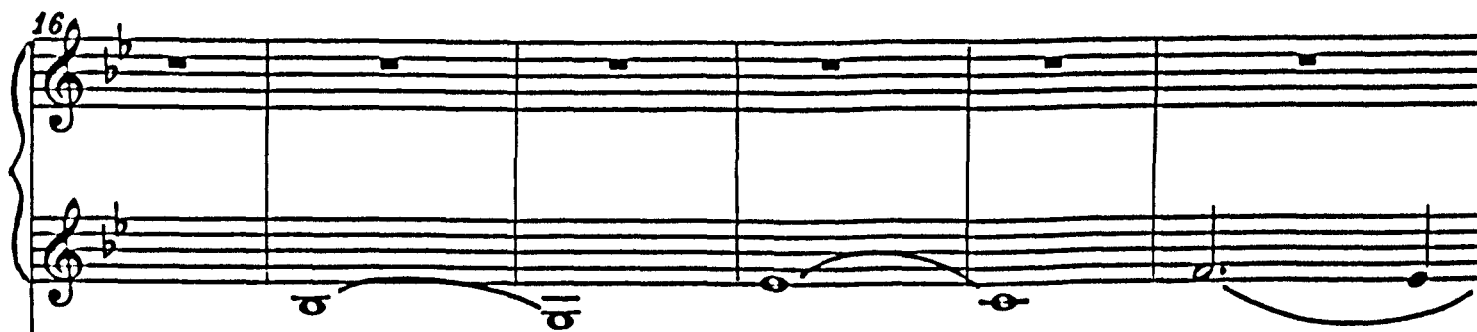
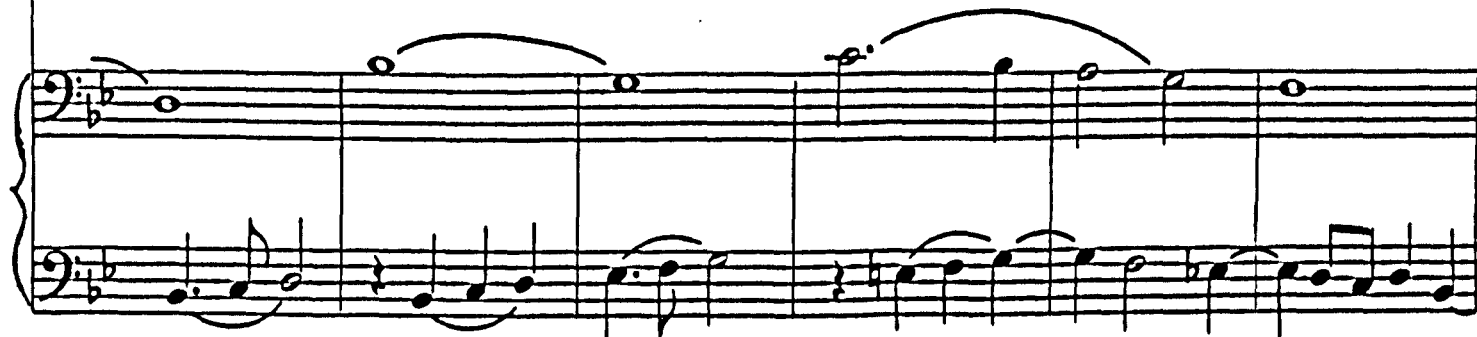
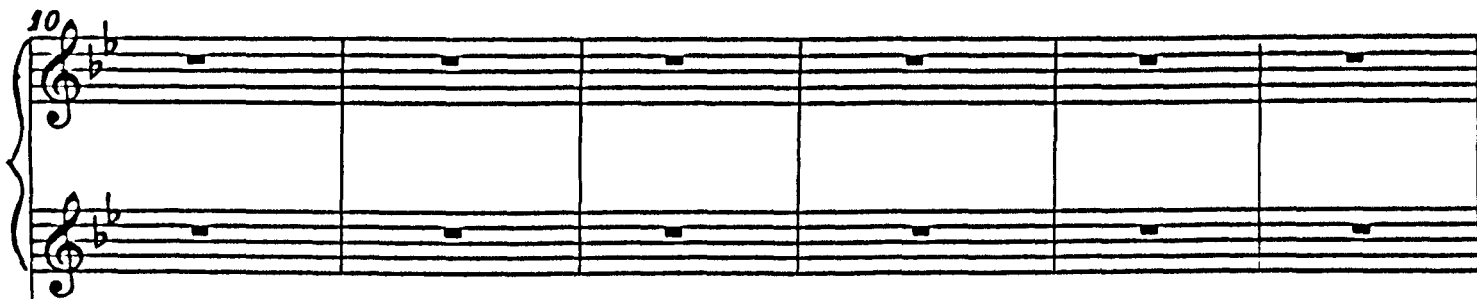
(FRAGMENT)

aus der Fantasie D 48
Versuch einer Ergänzung für
den praktischen Gebrauch
von
P. Reinhard Van Hoorickx, ofm
nach der Skizze in der Wiener
Stadt- und Landesbibliothek

Allegro maestoso



Allegro maestoso



22

Measures 22-27 of a musical score in B-flat major. The score is written for piano with four staves. Measures 22-24 feature a melody in the upper right staff with a trill in the upper left staff. Measures 25-27 show a more active bass line with a trill in the upper right staff.

28

Measures 28-34 of the musical score. Measures 28-30 show a melody in the upper right staff with a trill in the upper left staff. Measures 31-34 feature a more active bass line with a trill in the upper right staff.

35

Measures 35-40 of the musical score. Measures 35-37 show a melody in the upper right staff with a trill in the upper left staff. Measures 38-40 feature a more active bass line with a trill in the upper right staff.

44

Measures 44-50 of a musical score in B-flat major (two flats). The score is written for piano with four staves: two treble and two bass. Measures 44-46 feature a complex melodic line in the upper treble staff with many beamed sixteenth and thirty-second notes, and a more active bass line. Measures 47-50 show a transition to a more sustained texture with long notes and some tremolos in the lower staves.

51

Measures 51-55 of the musical score. Measures 51-53 continue the melodic development in the upper treble staff. Measures 54-55 introduce a new melodic motif in the lower treble staff, while the bass line remains active with moving eighth and sixteenth notes.

56

Measures 56-62 of the musical score. Measures 56-58 feature a series of chords and sustained notes in the upper treble staff. Measures 59-62 are marked with a forte (**ff**) dynamic and feature a more rhythmic and accented bass line, including a prominent tremolo in measure 60.

64

pp

pp

70

mf

mf

75

tr

rit.

tr

rit.

* Ende des Fragments.

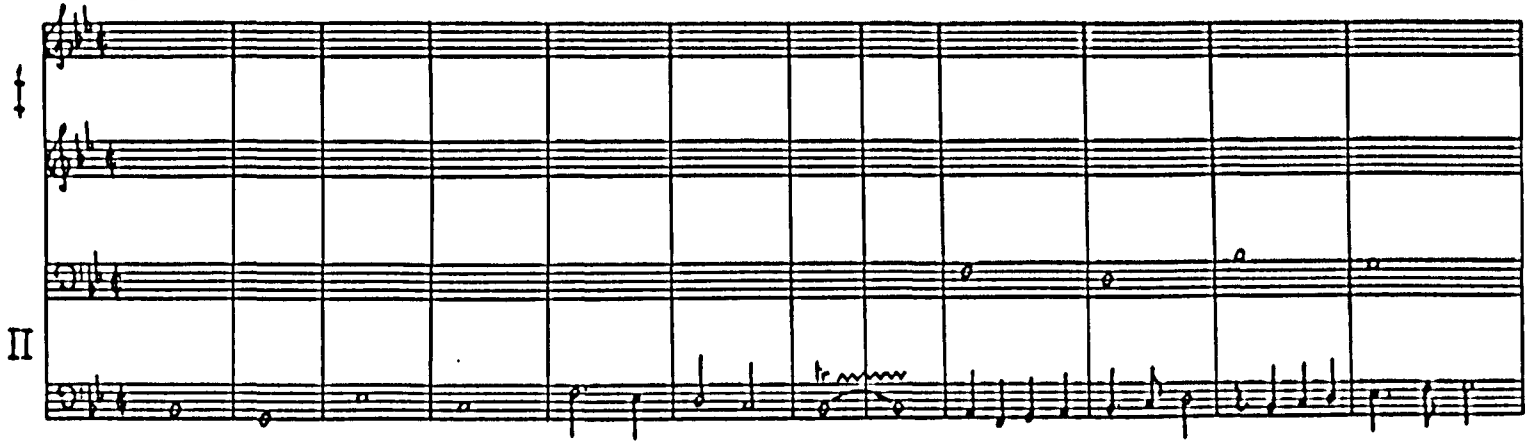
F. SCHUBERT: FUGUE D.48 (piano duet) completed by Nicholas Rast

Allegro maestoso

5

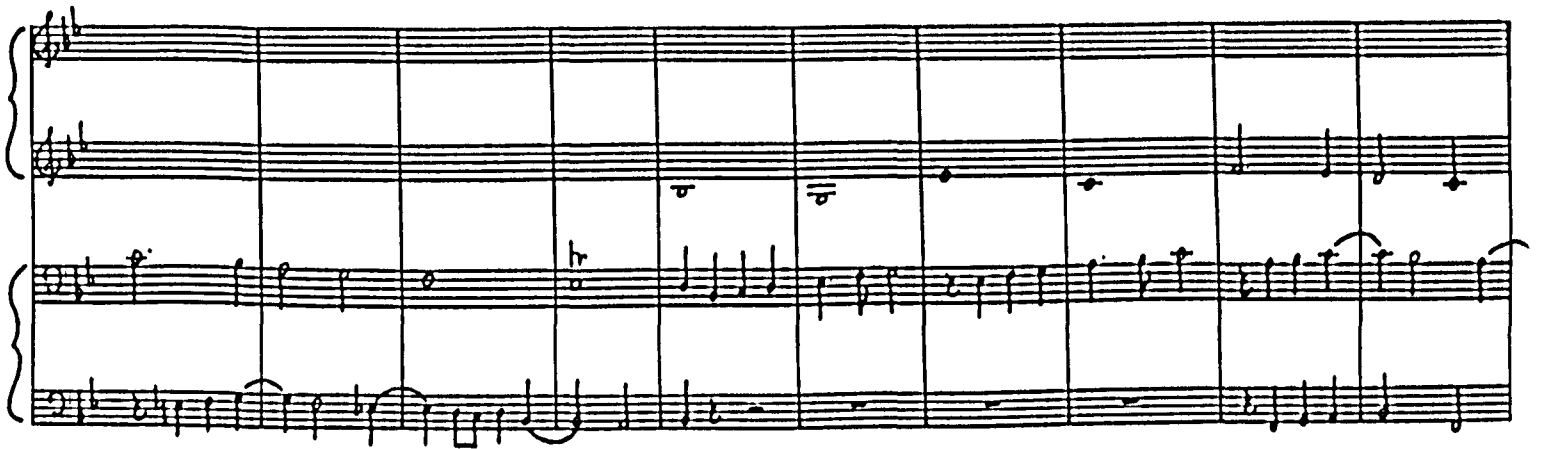
10

II



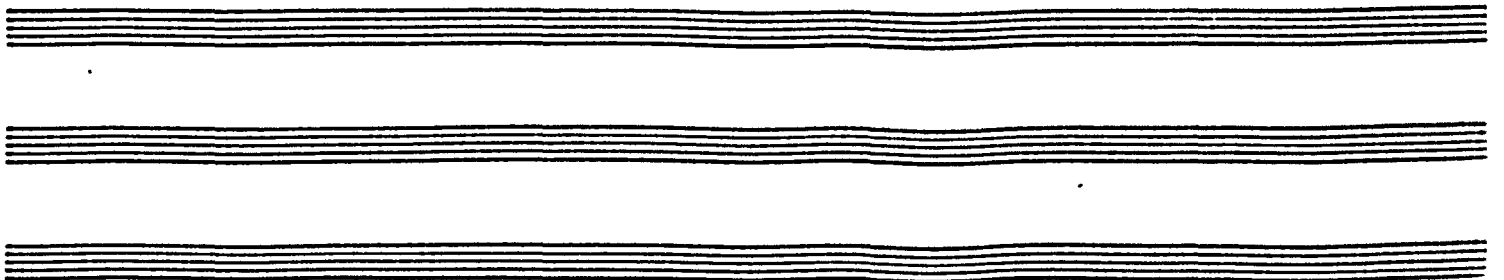
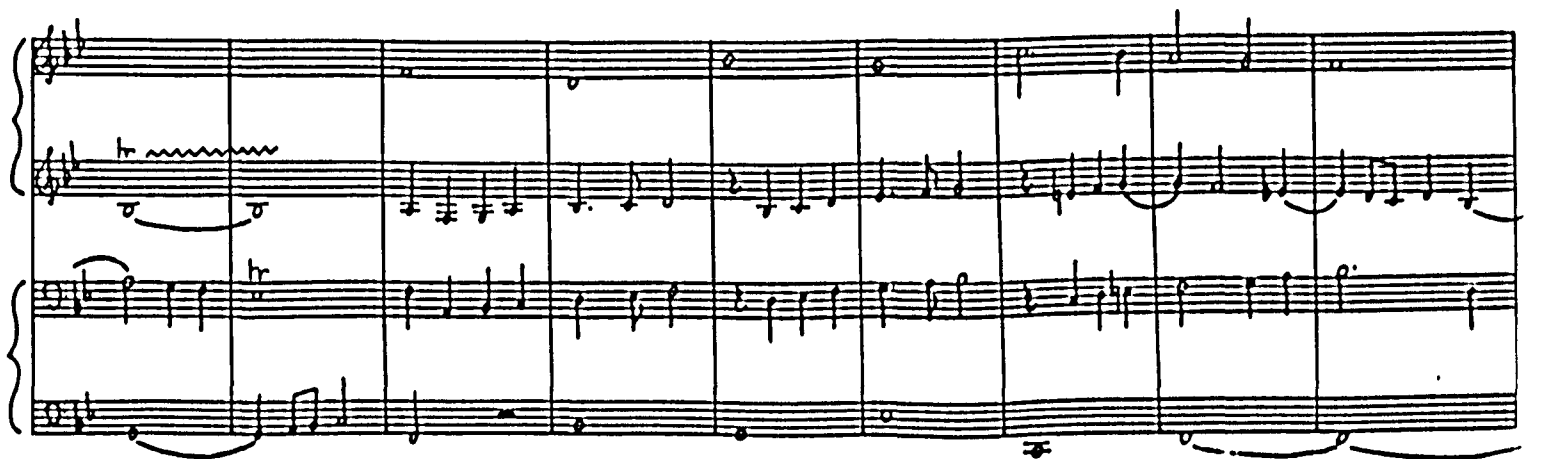
15

20



25

30



35 40

This system contains measures 35 through 40. It features a grand staff with five staves. Measures 35-39 show active melodic lines in the upper staves and harmonic accompaniment in the lower staves. Measure 40 concludes with a double bar line and a large 'V' symbol, indicating a section ending or a repeat sign.

45 50

This system contains measures 45 through 50. Measures 45-49 continue the musical development with various melodic and harmonic textures. Measure 50 features a prominent trill in the upper right staff, marked with a wavy line and a sharp sign, and is followed by a double bar line.

55 60

This system contains measures 55 through 60. Measures 55-59 show complex melodic passages with many beamed notes and slurs. Measure 60 features a double bar line and a large 'V' symbol, similar to the one in measure 40, indicating another section ending or repeat.

Three empty musical staves are shown at the bottom of the page, consisting of five-line systems without any notation.

65 70

pp

pp

This system contains measures 65 through 70. It features a grand staff with three systems of staves. The first system has a treble and bass staff. The second system has a treble and bass staff. The third system has a treble and bass staff. The music is in 4/4 time. Measures 65 and 66 have a treble staff with a whole note chord and a bass staff with a whole note chord. Measures 67 and 68 have a treble staff with a whole note chord and a bass staff with a whole note chord. Measures 69 and 70 have a treble staff with a whole note chord and a bass staff with a whole note chord. The dynamics are marked *pp* (pianissimo) in measures 67 and 68.

75

mf

mf

This system contains measures 75 through 80. It features a grand staff with three systems of staves. The first system has a treble and bass staff. The second system has a treble and bass staff. The third system has a treble and bass staff. The music is in 4/4 time. Measures 75 and 76 have a treble staff with a whole note chord and a bass staff with a whole note chord. Measures 77 and 78 have a treble staff with a whole note chord and a bass staff with a whole note chord. Measures 79 and 80 have a treble staff with a whole note chord and a bass staff with a whole note chord. The dynamics are marked *mf* (mezzo-forte) in measures 77 and 78.

80 85

This system contains measures 80 through 85. It features a grand staff with three systems of staves. The first system has a treble and bass staff. The second system has a treble and bass staff. The third system has a treble and bass staff. The music is in 4/4 time. Measures 80 and 81 have a treble staff with a whole note chord and a bass staff with a whole note chord. Measures 82 and 83 have a treble staff with a whole note chord and a bass staff with a whole note chord. Measures 84 and 85 have a treble staff with a whole note chord and a bass staff with a whole note chord.

Three empty systems of musical staves, each consisting of a grand staff with three staves.

90

Handwritten musical score for piano, measures 90-94. The score is written on a grand staff (treble and bass clefs) with a key signature of one flat (B-flat). Measure 90 features a forte (*ff*) dynamic marking and a crescendo hairpin. The melody in the right hand consists of quarter and eighth notes, while the left hand provides a harmonic accompaniment with quarter and eighth notes. Measures 91-94 continue the melodic and harmonic development, ending with a double bar line. The notation includes various musical symbols such as notes, rests, and dynamic markings.

BIBLIOGRAPHY

AGAWU, Kofi:

'On Schubert's *Der greise Kopf*' in *In Theory Only* 8
(1984) pp.3-21.

APEL, Willi:

Harvard Dictionary of Music (2nd. Edition, London:
1970).

BADURA-SKODA, P. & BRANSCOMBE, P. (Ed.):

Schubert Studies: Problems of Style and Chronology
(Cambridge: 1982).

BEACH, David (Ed.):

Aspects of Schenkerian Theory (Yale: 1983).

BOYD, Malcolm:

'Schubert's Short Cuts' in *The Music Review* 29 (1968)
pp. 12-21

BROWN, M.J.E.:

'Schubert's *Grand Duo*' in *Monthly Musical Record* 77
(May 1947) pp.98-101.

Schubert. A Critical Biography (London: 1958).

BURKHART, Charles:

'Schenker's "Motivic Parallelisms"' in *Journal of Music Theory* 22 (1978) pp. 145-175.

CITRON, Judith M.:

Schubert's Seven Complete Operas: A Musico-Dramatic Study (PhD. diss. North Carolina, Chapel Hill: 1971)

CLARK, William:

'Heinrich Schenker on the nature of the Seventh Chord' in *Journal of Music Theory* 26 (1982) pp.221-259.

COREN, Daniel:

'Ambiguity in Schubert's Recapitulations' in *Musical Quarterly* 60 (1974) pp.568-582.

DALE, Kathleen:

'Schubert: The Piano Music' in Gerald Abraham (Ed.), *Schubert: A Symposium* (London: 1946) pp. 111-148.

DEUTSCH, O.E.:

Schubert: A Documentary Biography (London: 1947)

Thematisches Verzeichnis seiner Werke in Chronologischer Folge von Otto Erich Deutsch (Revised edition by the New Schubert Edition. Kassel, Bärenreiter: 1978).

DÜRR, Walther:

Kritischer Bericht, Lieder Band 1 (Neue Schubert-Ausgabe. Kassel, Bärenreiter: 1972).

EBERLER, Max Wilhelm:

Studien zur Entwicklung der Setzart zu vier Händen von der Anfängers bis Franz Schubert (PhD. diss. Munich: 1922).

GÜLKE, Peter:

Drei Sinfonie-Fragmente (Leipzig, Peters: 1982). Score and commentary.

HILMAR, Ernst:

Verzeichnis der Schubert-Handschriften in der Musiksammlung der Wiener Stadt- und Landesbibliothek (Kassel, Bärenreiter: 1978).

HIRSCH, Paul:

'Erstausgaben von Werken Franz Schubert' in *Catalogue of the Library of Paul Hirsch* Volume IV (Cambridge: 1947) pp.191-253.

van HOORICKX, Reinhard:

'Two Essays on Schubert' in *Revue Belge de Musicologie* 29 (1970) pp. 81-95 (especially p. 91).

'Counterpoint and Fugue in Schubert's Piano Music' in *The Piano Quarterly* 27 (1975) pp. 48-51.

KEILER, Allan:

'The Syntax of Prolongation I' in *In Theory Only* 3 (1977) pp. 3-27.

KELLER, Hermann:

'Schuberts verhältnis zur Sonatenform' in *Musa-mens-musici: im Gedanken an Walther Vetter* (Leipzig: 1969) pp. 287-295.

KESSELSCHLÄGER, Carl:

Franz Schuberts Werke für Klavier zu vier Händen. Ein Beitrag zur Geschichte und Stilistik des vierhändigen Klaviersatzes (PhD. diss. Freiburg: 1941).

KINDERMANN, William:

'Schubert's Tragic Perspective' in Walter Frisch (Ed.) *Schubert: Critical and Analytical Studies* (Nebraska: 1986) pp. 65-83.

(192)

KÖLTZSCH, Hans:

Franz Schubert in seinen Klaviersonaten (Leipzig: 1927).

KREBS, Harald:

'The Background Level in some Tonally Deviating works of Franz Schubert' in *In Theory Only* 8 (1985) pp.5-18.

LEWIN, David:

'"Auf dem Flusse": Image and Background in a Schubert Song' in *Nineteenth-Century Music* 6 (1982) pp.47-59.

McNAMEE, Ann K.:

'The Introduction in Schubert's Lieder' in *Music Analysis* 4 (1985) pp.95-106.

MANN, Alfred:

'Schubert's Lesson with Sechter' in *Nineteenth-Century Music* 6 (1982) pp.159-165.

MASSIN, Brigitte:

Franz Schubert (Paris: 1977).

(193)

MORGAN, Robert P.:

'Dissonant Prolongations: Theoretical and Compositional Precedents' in *Journal of Music Theory* 20 (1976) pp. 49-91.

NEWBOULD, Brian:

'Schubert's Last Symphony' in *The Musical Times* 126 (1985) pp.272-275.

NORMAN-McKAY, Elizabeth:

The Stage-works of Schubert, considered in the Framework of Austrian Biedermeier Society (PhD. diss. Oxford: 1962)

NOTTEBOHM, Gustav:

Thematisches Verzeichniss der in dem Druck erschienenen Werke von Franz Schubert (Vienna, Schreiber: 1874).

OSTER, Ernst:

'Register and Large-scale Connection' in Maury Yeston (Ed.) *Readings in Schenker Analysis and Other Approaches* (Yale: 1977). This article was originally published in *Journal of Music Theory* 5 (1961).

(194)

RACEK, Fritz:

'Eine wiedergefundene Schuberthandschrift' in
Österreichische Musik Zeitschrift 2 (1947) pp. 18-20.

RAST, Nicholas:

Tonal Structure, Form and Design in Schubert's f minor Fantasy for Piano Duet, D.940 (MMus. diss. London, King's College: 1981).

REED, John:

Schubert. The Final Years (London: 1972).

The Schubert Song Companion (Manchester: 1985).

RIGGINS, Herbert:

'Neighbor Motion and its Graphic Notation in Schenker's "Free Composition"' in *In Theory Only* 6 (1982) pp. 3-11.

ROSEN, Charles:

Sonata Forms (Norton, New York: 1980).

ROTHSTEIN, William:

Rhythm and the Theory of Structural Levels (PhD. diss. Yale: 1981).

(195)

SALZER, Felix:

Die Sonatenform bei Schubert (ein Beitrag zur Geschichte der Sonatenform) (PhD. diss. Vienna: 1926).

SAMS, Eric:

'Schubert's Piano Duets' in *The Musical Times* 117 (1976) pp.120-121.

SCHACHTER, Carl:

'A Commentary on Schenker's *Free Composition*' in *Journal of Music Theory* 25 (1981) pp.126-127.

'Motive and Text in Four Schubert Songs' in *Aspects of Schenkerian Theory* Ed. David Beach (Yale: 1983) pp.61-76.

SCHENKER, Heinrich:

'Schubert: "*Ihr Bild*"' in *Tonwille* 1 (Vienna: 1921) pp.46-49. This article has been translated by William Pastille and is published in *Sonus* 6.2 (1986) pp. 31-37.

'Schubert: "*Gretchen am Spinnrade*"' in *Tonwille* 6 (Vienna: 1923) pp.3-8.

'Organic Structure in Sonata Form' (translated by Orin Grossman) in *Readings in Schenker Analysis* (Edited by Maury Yeston, Yale: 1977).

Free Composition translated and edited by Ernst Oster (New York: 1979).

(196)

STRAWINSKY, Igor:

The Poetics of Music (Harvard: 1947).

THERSTAPPEN, Hans J.:

Die Entwicklung der Form bei Schubert (Leipzig: 1931).

WASON, Robert:

'Schenker's Notion of Scale-step in Historical Perspective: Non-essential Harmonies in Viennese Fundamental Bass Theory' in *Journal of Music Theory* 27 (1983) pp. 49-73.

Viennese Harmonic Theory from Albrechtsberger to Schenker and Schoenberg (Ann Arbor: 1985).

WEBSTER, James:

'Schubert's Sonata Form and Brahms' First Maturity' in *Nineteenth-Century Music* II (1978) pp.18-35 and III (1979) pp.52-71.

WEEKLEY, Dallas A.:

The One-piano, Four-hand Compositions of Franz Schubert: Historical and Interpretative Analysis (PhD. diss. Indiana: 1968).

(197)

WEINMANN, Ignaz:

'Die Schubert-Sammlung im Musikarchiv der Benediktinerabtei Seitenstetten' in *Schubert Studien* Ed. Franz Grasberger & Othmar Wessely (Vienna: 1978) pp.167-272.

WETZEL, Hermann:

'Schuberts Werke für Klavier zu vier Hände' in *Die Musik* 6 (1906-1907) pp. 36-44.

WINKLER, Georg:

Das Problem der Polyphonie im Klavierschaffen Franz Schuberts (PhD. diss. Vienna: 1956).

WINTER, Robert:

'Paper Studies and the Future of Schubert Research' in *Schubert Studies* Ed. Paul Badura-Skoda & Peter Branscombe (Cambridge: 1982) pp.209-275.

Franz Schubert's Original Works for Piano Duet.

<i>D</i>	<i>Title</i>	<i>Date of Composition</i>
1	Fantasy in G	8 April-1 May 1810
1b	Fantasy in G (fragment)	1810 or 1811
1c	Sonata in F (fragment)	1810 or 1811
9	Fantasy in g	20 September 1811
48	Fantasy in c	April-10 June 1813
599	4 Polonaises	July 1818
602	3 marches héroïques	1818 or 1824
603	(see D. 968a)	
608	Rondo in D (1st version)	January 1818
	(2nd version)	c. 1818
617	Sonata in Bb	summer-autumn 1818
618	Deutscher in G, with 2 trios, and 2 Ländler in E	summer-autumn 1818
618a	Polonaise in Bb	July 1818
624	8 variations on a French song in e	September 1818
675	Overture in F	? November 1819
733	3 marches militaires	? summer-autumn 1818
812	Sonata in C 'Grand Duo'	June 1824
813	8 variations on an Original Theme in Ab	summer 1824
814	4 Ländler	July 1824
818	Divertissement à l'hongroise in g	? autumn 1824
819	6 grandes marches	? autumn 1824
823	Divertissement sur des motifs français in e	c. 1825
824	6 polonaises	1826
859	Grande marche funèbre	December 1825
885	Grande marche héroïque	1826
886	(see D. 968b)	

<i>D</i>	<i>Title</i>	<i>Date of Composition</i>
<hr/>		
908	8 variations on a theme from Hérold's <i>Marie</i> in C	February 1827
928	March in G 'Kindermarsch'	12 October 1827
940	Fantasy in f	January-April 1828
947	Allegro in a 'Lebensstürme'	May 1828
951	Rondo in A	June 1828
968	Allegro moderato in C, and Andante in a ('Sonatine')	?1818
968a	Introduction, 4 variations on an original theme and finale in Bb (olim D.603)	?1824
968b	2 marches caractéristiques in C (olim D.886)	?1826
